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ABSTRACT

This volume contains nine papers on advancement issues and strategies for small colleges in the context of this decade's economic and social challenges. Chapter 1, "Setting the Stage" (Wesley K. Willmer), reports on a study of the advancement programs of smaller colleges in 1990-91, the third in a series of studies beginning in 1977-78. Chapter 2, "Executive Management: Coordinating the Process" (Wesley K. Willmer), lays out benchmarks gleaned from a 1990-91 study of advancement functions and operations, advancement funding, advancement staffing, and characteristics of the executive advancement manager. It concludes with 10 specific suggestions for success. Chapter 3, "Development: Winning Strategies for Fund-raising Success" (G. Blair Dowden), describes 10 key strategies which can be tailored to meet individual characteristics of an institution. Chapter 4, "The Advancement Roles of Small College Presidents" (Daniel A. Felicetti), argues that small college presidents may live or die by their institution's advancement success and that they should expect to play at least eight roles in advancement. Chapter 5, "The Trustees' Critical Role in Small College Advancement" (Robert W. Neff), considers the vital role of trustees in institutional advancement and describes several specific strategies for trustees. Chapter 6, "Effective Public Relations and Communications Strategies" (Carol P. Halstead), outlines 16 steps for developing a successful public relations program. Chapter 7, "Alumni: Fanning the Commitment Fire" (Charles G. Rodriguez), suggests alternative approaches for serving and using alumni. Chapter 8, "Cost-effective Enrollment Management: A Cornerstone of Institutional Advancement" (Steven J. Henderson), applies lessons learned in the past decade as strategies for the future. Chapter 9, "Glancing Back Briefly to Move Forward Confidently" (Wesley K. Willmer and Adam J. Morris), takes a longitudinal look at institutional advancement through review of three surveys from 1977-78, 1983-84, and 1990-91. The book includes a list of survey respondents and a copy of the survey instrument. References are listed for some individual papers and a general bibliography contains 133 references. (JB)

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Winning Strategies in Challenging Times for Advancing Small Colleges

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Winning Strategies in Challenging Times for Advancing Small Colleges

Wesley K. Willmer, Editor

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Contents

Foreword i

Allen P. Splete and Peter McE. Buchanan

Acknowledgments iii

Wesley K. Willmer

1. Setting the Stage 1
Wesley K. Willmer
2. Executive Management: Coordinating the Process 11
Wesley K. Willmer
3. Development: Winning Strategies for Fund-raising Success 29
G. Blair Douden
4. The Advancement Roles of Small College Presidents 63
Daniel A. Felicetti
5. The Trustees' Critical Role in Small College Advancement 91
Robert W. Neff
6. Effective Public Relations and Communications Strategies 107
Carol P. Halstead
7. Alumni: Fanning the Commitment Fire 129
Charles G. Rodriguez
8. Cost-effective Enrollment Management: A Cornerstone of Institutional Advancement 145
Steven J. Henderson
9. Glancing Back Briefly to Move Forward Confidently 179
Wesley K. Willmer and Adam J. Morris

Bibliography 203

Joan M. Wilson

Appendices

- A. Council of Independent Colleges Respondents 211
- B. Cover Letter 227
- C. Questionnaire 228
- D. CIC Respondents by State 236

About the Editor 237

Tables and Figures

Table 1-1: Enrollment	4
Table 1-2: Educational and General (E&G) Expenditures	5
Table 1-3: Geographical Distribution of Respondents	5
Table 1-4: Sources of Budget Funding by Enrollment Size	6
Table 1-5: Titles of Respondents	7
Table 1-6: Institutional Endowment by Enrollment Size	7
Table 1-7: Cost of Tuition	8
Table 1-8: Cost of Room and Board	8
Table 2-1: Institutional Advancement Functions Prioritized	12
Table 2-2: Institutional Advancement Functions by Enrollment Size	13
Table 2-3: Use of Professional Consultants by Function	14
Table 2-4: Advancement Expenditures by Enrollment Size	15
Table 2-5: Budget Allocations to Advancement by Enrollment Size	15
Table 2-6: Expenditures by Enrollment and Dollar Amounts	16
Table 2-7: Advancement Expenditures by Function	16
Table 2-8: Administrative Staff by Enrollment Size	17
Table 2-9: Advancement Clerical/Secretarial Staff by Enrollment Size	18
Table 2-10: Active Roles Played by Volunteers (Other than Trustees)	18
Table 2-11: Manager's Years with the Institution	19
Table 2-12: Manager's Years in Current Position	19
Table 2-13: Manager's Years in Advancement	20
Table 2-14: Manager's Age	20
Table 2-15: Manager's Highest Degree	20
Figure 2-1: Relationships Required for Building a Leadership-Based Advancement Organization	27
Table 3-1: Educational Budget Income by Category	30
Table 3-2: 1990-91 Fund-raising Expenditures by Enrollment Size	31
Table 3-3: Sources of Gift Income	34
Table 3-4: Net Income Generated	34
Table 3-5: Fund-raising Administrative Staff by Enrollment Size	36
Table 3-6: Fund-raising Clerical/Secretarial Staff by Enrollment Size	37
Table 3-7: Four-year Increase/Decrease in Staff by Enrollment Size	37
Table 3-8: Anticipated Staff in Next Years by Enrollment Size	38
Table 3-9: Percentage of \$1,000+ Donors Solicited by Category	40
Table 3-10: Unrestricted Gift Income by Enrollment Size	42
Table 3-11: Percentage of Fund-raising Efforts Toward Unrestricted Funds by Enrollment Size	42
Table 3-12: Total Private Gifts Received for Operations in FY 1990-91 by Enrollment Size	43
Figure 3-1: Solicitation Method and Giving Potential of Donor	44
Table 3-13: Total Mailing List by Enrollment Size	44
Table 3-14: Items Sent to Mailing List by Enrollment Size	45
Table 3-15: Unrestricted Funds Received Through an Association by Enrollment Size	46
Table 3-16: Total Private Gifts Received for Endowment in FY 1990-91 by Enrollment Size	47

Table 3-17: Total Funds Received Through Matured Deferred Gifts in 1990-91 by Enrollment Size	48
Table 3-18: Total Private Gifts Received for Capital in 1990-91 by Enrollment Size	50
Figure 3-2: Smith's Five I's of Fund Raising	52
Table 3-19: Solicitors of \$1000+ Face-to-Face Donations	53
Table 3-20: Average Turnaround Time for Acknowledging a Gift	55
Figure 3-3: Sample Donor Acknowledgment Chart	55
Table 5-1: Percent of Board Members Capable of Making a One-time Gift	97
Table 5-2: Trustees' Occupations	100
Table 5-3: Satisfaction with Trustees	103
Table 6-1: Institutional Relations Expenditures by Enrollment Size	109
Table 6-2: Institutional Relations Administrative Staff by Enrollment Size	110
Table 6-3: Institutional Relations Clerical/Secretarial Staff by Enrollment Size	111
Table 6-4: Public Relations Goals	115
Figure 7-1: A Model of Perpetual Alumni Support	137
Table 7-1: Alumni Affairs Expenditures by Enrollment Size	138
Table 7-2: Alumni Affairs Administrative Staff by Enrollment Size	139
Table 8-1: Chief Admissions Officer Reporting Lines	149
Table 8-2: Admissions Administrative Staff by Enrollment Size	154
Table 8-3: Comparison of Admissions Administrative Staff by Enrollment Size	155
Table 8-4: Admissions Clerical/Secretarial Staff by Enrollment Size	155
Table 8-5: Comparison of Admissions Clerical/Secretarial Staffing by Enrollment Size	156
Table 8-6: Admissions Inquiries, Applicants, and Matriculants	162
Table 8-7: Comparative Admissions Conversion Rates	163
Table 8-8: Admissions Expenditures by Enrollment Size	170
Table 8-9: Comparison of Mean Admissions Expenditures by Enrollment Size	171
Table 8-10: Specific Admissions Expenditures	171
Table 8-11: Admissions Costs to Matriculate One Student	172
Table 8-12: Comparison of Admissions Costs to Matriculate One Student	172
Table 9-1: Enrollment Comparison	181
Table 9-2: Educational and General (E&G) Budget by Enrollment Comparison	182
Table 9-3: Institutional Advancement Function Comparison	184
Table 9-4: Budget Allocations to Advancement by Enrollment Size	184
Table 9-5: Advancement Expenditures by Enrollment Size	185
Table 9-6: Advancement Expenditures by Function	185
Table 9-7: Advancement Administrative Staff by Enrollment Size	186
Table 9-8: Advancement Clerical/Secretarial Staff by Enrollment Size	186
Table 9-9: Fund-raising Expenditures by Enrollment Size	188
Table 9-10: Fund-raising Administrative Staff by Enrollment Size	189
Table 9-11: Fund-raising Clerical/Secretarial Staff by Enrollment Size	189
Table 9-12: Unrestricted Gift Income by Enrollment Size	190
Table 9-13: Capital Gift Income by Enrollment Size	190
Table 9-14: Gift Income by Constituency Source	191
Table 9-15: Cost to Raise a Dollar of Gift Income	192

Table 9-16: Percent of E&G Funds Spent on Fund Raising by Total Income	193
Table 9-17: Institutional Relations Expenditures by Enrollment Size	194
Table 9-18: Institutional Relations Administrative Staff by Enrollment Size	194
Table 9-19: Institutional Relations Clerical/Secretarial Staff by Enrollment Size	195
Table 9-20: Alumni Affairs Expenditures by Enrollment Size	196
Table 9-21: Alumni Affairs Administrative Staff by Enrollment Size	197
Table 9-22: Alumni Affairs Clerical/Secretarial Staff by Enrollment Size	197
Table 9-23: Admissions Expenditures by Enrollment Size	198
Table 9-24: Admissions Administrative Staff by Enrollment Size	199
Table 9-25: Admissions Clerical/Secretarial Staff by Enrollment Size	199
Table 9-26: Admissions Inquiries, Applicants, and Matriculants	200
Table 9-27: Admissions Costs to Matriculate One Student	200

Foreword

The buzz words in the '90s for higher education are "cost containment," "strategic contraction," "repositioning," "financial equilibrium," and "downsizing." All give the same message—shrink to survive. And the message is often one of pain because it means less money, cutbacks, and other difficult decisions. Small colleges are not immune from these realities.

The struggle for survival is not a new phenomenon; it has always been an integral part of American higher education. As early as 1641, Harvard sent a trio of preachers to England on a "begging mission." In 1838 the University of Michigan borrowed \$100,000 to get started. In 1873 lack of funds forced Miami University to close for 12 years. In 1896 Stanford University's president wrote that "for the three years following the death of Senator Stanford, this institution has had a constant life and death struggle." It is no wonder that many American colleges are named after benefactors.

In the coming decade, much of this pressure will continue to fall on institutional advancement programs to raise more money, attract more students, and gain more friends. Consequently, the title of this publication, *Winning Strategies in Challenging Times for Advancing Small Colleges*, is a timely one. While there is no magic formula for a good advancement effort, there are consistent, well-documented benchmarks that work well when applied in a customized manner to individual institutions. This book provides a very useful resource.

There is a Chinese proverb that says that the flip side of a crisis is an opportunity. This book is about the opportunity for small colleges to be all they can be. In general, the smaller, often independent college has an advantage over many of the larger institutions. Smaller institutions have lived in austere times a lot, they usually have a well-defined and loyal constituency, they are accustomed to operating modestly, their small size allows them to adjust to market shifts, they often have not overbuilt, and generally they are not susceptible to budget cuts from legislative bodies.

Many small colleges are "running against the grain" in more ways than the general public would expect. This has not been the result of chance. It represents the culmination of several factors that, collectively, have accounted for increased support. Presidential leadership, trustee involvement and participation, and long-range plans that blend needs with resource development in a coherent fashion all have made a difference. These institutions have been articulate at saying what they do and then doing it. In essence, many small colleges are winning because they have well-conceived advancement programs that stress a strong sense of direction and purpose.

In an effort to strengthen small college advancement efforts, the Council of Independent Colleges (CIC) and the Council for Advancement and Support of Education (CASE) have joined together to produce this publication. The purpose of *Winning Strategies* is to assist those looking for help—to assist presidents, trustees, volunteers, and professional staff to examine their efforts in light of the benchmarks developed from the professional literature, the records of similar

institutions, and the experience of seasoned professionals.

Wesley Willmer has done higher education a real service by updating his earlier published works in this area and providing longitudinal comparisons. Without his initiative, this publication would not be a reality. Thanks go to the Lilly Endowment, Inc., for funding the research and publication of the final product. We both hope that this book will prove helpful to all those who seek to "advance small colleges" in every way. For the small college is truly a national treasure that deserves our support and our nurture.

Allen P. Splete

President
CIC

Peter McE. Buchanan

President
CASE
December 1993

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This book is the result of a team of dedicated people, each contributing their unique gifts to assure a quality publication. My heartfelt thanks to all for the part they played.

This project was made possible by funding from the Lilly Endowment, Inc. Charles Johnson, vice president for development at Lilly, was the key facilitator in obtaining the funding. He put his trust in this project and had the vision to see the benefit it would bring to many institutions and the course of higher education. His personal friendship and professional encouragement over the years with several projects are deeply appreciated.

Allen Splete, president of the Council of Independent Colleges, was an encouragement and valuable resource adviser throughout the effort. His counsel on the questionnaire, suggestions of authors, and promotion of the project to the CIC membership promoted the unusually high survey response rate of 80 percent. He personally signed and added over 300 postscripts to his cover letter to the survey—a marvelous boost to the effort! Thanks to CIC staff members Gayle Christopher, Deborah Dozier, Russell Garth, Stephen Pelletier, and Barbara Stevens, as well.

The publisher, the Council for Advancement and Support of Education (CASE), also provided steady encouragement. The discussion of this effort transcended several staff changes over almost three years. Virginia Carter Smith was instrumental from the outset. Upon Ginny's retirement, Keith Moore kept the momentum going, and the key to continuity was Ruth Stadius, director of publications, who faithfully stayed with the project from beginning to end. Editor Susan Hunt added a consistency to the final details. Judy Grace willingly suggested authors, reviewed the questionnaire, and provided bibliographical research. Peter Buchanan and Dick Edwards added their blessing to the project behind the scenes.

A special thanks goes to Jane Halteman who handled the details of the research from mailing the surveys and inputting and analyzing the data to getting the information out to the authors. Her constant attention to detail assured the consistent reliability of the data. I am also appreciative of each chapter author who went through many revisions of drafts.

Joan Wilson was invaluable. Her willing help with coordinating and facilitating this project, besides authoring the bibliography, was essential to the final outcome. As well, I wish to acknowledge my family, Sharon, Stephen, Kristell, and Brian, who are such an integral part of all I do, and Biola University President Clyde Cook for his personal friendship and professional encouragement.

Lastly, thanks to all those who completed the surveys that made the data available.

Wesley K. Willmer

Vice President, University Advancement
Biola University
December 1993

Setting the Stage

Wesley K. Willmer

The revenue produced by gaining friends, raising funds, and enlisting students is the lifeblood of small colleges because these institutional advancement activities provide the major streams of income. These advancement activities are a difficult, never-ending task that requires the constant attention of small college administrators.

The purpose of this book is to provide a practical resource, grounded in the literature, recent research, and the experience of seasoned professionals. The intent is that presidents, trustees and other volunteers, and advancement personnel of small colleges will apply the benchmarks of these data to their own situations to make wise decisions and thereby improve the ability of their institutions to gain friends, acquire students, and raise funds.

The present study is the third in a series of surveys on the advancement programs of smaller institutions of higher learning. Each survey has used the membership of the Council of Independent Colleges (CIC) as the study population. The first study surveyed the 191 members of CIC (then the Council for Advancement of Small Colleges (CASC)) in fiscal year 1977-78. The Council for Advancement and Support of Education (CASE) published this work in 1981. The second study, published by CASE in 1987, reflects fiscal year 1983-84 data.¹ The current study analyzes data for fiscal year 1990-91.

A lot has changed since the first study, and one purpose of this publication is to provide an assessment of those changes (Chapter 9). Throughout the years, one theme has emerged: Each study has attempted to offer standards that go beyond "knee-jerk thinking" in which advancement officers do the popular thing or whatever the pressure of the moment demands.²

The purpose of each of these studies, including the present one, is to provide a framework for managers to assess their operation in comparison to others, and to follow the time-tested wisdom of Hobbs and Francis: "Without reliable well-tested principles, we have nothing by which to judge the advice we receive or to give direction for our plans and actions."³

The typical small college has a small staff, limited budget, and a constituency with modest means. To survive and advance in the future, small colleges must

retain the support of former students and actively cultivate the interest and understanding of its many publics—alumni, parents, businesses, foundations, and churches. This is the focus of institutional advancement: to create among all constituencies an understanding of the institution's mission, services, and accomplishments and thereby to generate goodwill, voluntary financial support, and new students to sustain its educational objectives.⁴

The advice offered in the current study comes from three sources: responses from a survey mailed to the current member institutions of the Council of Independent Colleges; a review of the professional literature; and the firsthand experience of the authors.

The study procedure

This study attempts to pull together the best advice from the professional literature and the experience of seasoned professionals. While the two previous studies and publications (*The Small College Advancement Program: Managing for Results* and *A New Look at Managing the Small College Advancement Program*) were prepared by one person, it was felt that bringing in guest authors would broaden the base of expertise and make this a stronger resource.

A three-track study procedure was followed:

- A survey was mailed to the CIC membership to determine current advancement activities;
- The professional literature was searched to identify all applicable studies; and
- Experienced professionals were invited to write chapters on the different areas of institutional advancement in which they would synthesize the results, tying the information together through the grid of personal experience.

The literature searches were conducted in the traditional manner (ERIC searches, etc.), but the survey data collection needs further explanation.

The data collection procedure

The data collection phase of the project lasted from February 1992 through May 15, 1992. The very good response of 80 percent (247 of 308 possible respondents, see Appendix A) provides an excellent sample of information. The data collection phase had three parts: questionnaire development, mailing schedule/follow-up, and data input.

Questionnaire development. The questionnaire was developed in four stages: initial draft, advisory input, pretest, and refinement. The initial draft was put together by the Project Director Wesley K. Willmer, who used his experience from previously tested questions and from assessing the validity of the use of questions from the 1977-78 and 1983-84 fiscal year studies.

The questionnaire was then sent to a representative advisory group made up of the authors and leadership from CASE and CIC. Once their input was received and revisions made, the questionnaire was pretested and the results incorporated for the final version.

Mailing schedule/follow-up. The questionnaire mailing schedule below was followed to get an optimum response. Cic President Allen Splete individually signed each personalized cover letter and added a handwritten postscript to encourage a response, and this was surely a significant factor in the unusually high response rate.

The cover letter (Appendix B), questionnaire (Appendix C), and response envelope were mailed on February 15, 1992. A reminder postcard (Appendix D) was mailed on March 19, 1992. A second mailing with cover letter (Appendix E) from Wesley Willmer was mailed to nonrespondents on April 3, 1992. From March through May 1992, phone calls were made to encourage responses or to request more complete information.

Data input. The mechanics of the data collection phase (printing, mailing, inputting, etc.) were handled by Jane Halteman of Information Works in Wheaton, Illinois. This organization's experience in providing these services for a wide variety of clients allowed this time-consuming and potentially expensive step in the process to be handled smoothly. The raw data were then sent to the various authors for use in their respective chapters.

Each chapter author, under the direction of the project director, was responsible for analyzing and applying the data and following a suggested format for the display of the data that drew from previous experience and allowed for longitudinal comparisons. Once the data were organized into a manageable format, each author assessed the findings against his or her personal experience and the broader literature of the field. (Each author was provided with reference searches of the literature.) Where applicable, authors compared the data with their own independent research efforts. Each author went through several draft stages with the project director to assure quality and continuity.

Chapter 9 provides a longitudinal assessment of the results of all three studies. An effort was made to identify trends and changes and to suggest ways to improve fund-raising effectiveness at small colleges.

The study population

The 308 member institutions of the Council of Independent Colleges served as the study population for the survey data. The CIC membership was used because these institutions serve as the best representative group of small colleges in America (and the findings apply well to the small colleges in the enrollment size groups) and because their leadership was willing to cooperate fully and to promote the efforts. And, in addition, because the CIC members had been used for the two earlier studies, longitudinal comparisons could be made over the 15-year period.

The Council of Independent Colleges was founded in 1956 as the Council for the Advancement of Small Colleges (CASC). In 1981, it became CIC, a national association of independent liberal arts colleges and universities that assists member institutions in improving their academic programs, administrative and financial performance, and institutional visibility. Cic represents a diverse group of more than 300 private liberal arts colleges and universities nationwide. Its member colleges and universities are rural, suburban, and urban. Many are well known

nationally; others have regional reputations. Student enrollment ranges from fewer than 500 to more than 5,000; most member colleges, however, serve 600 to 2,000 students.

The sections below provide information on the study population—enrollment size, geographic location, years in existence, educational and general budgets, and respondents' titles. These data provide a matrix to enable you, the reader, to customize the information and apply it specifically to your institution.

Student enrollment

Of the 247 responding institutions, 47 percent reported 1,000 full-time enrollment (FTE) or fewer students in attendance. As Table 1-1 shows, almost 90 percent of the institutions have enrollments of 2,000 FTE or fewer. Ten percent have more than 2,000 FTE, and 6 percent have 500 or fewer FTE. In general, over the years of the three studies, the institutions as a whole have grown; a smaller percentage have fewer than 500 FTE in this latest survey than in the two earlier ones. In addition, several new members have been added in the largest enrollment category.

Table 1-1: Enrollment

Enrollment	Number	Relative Frequency (Percent)	Cumulative Frequency (Percent)
Up to 500	15	6.1	6.1
501-750	52	21.1	27.2
751-1000	50	20.2	47.4
1,001-1,250	41	16.6	64.0
1,251-1,500	23	9.3	73.3
1,501-2,000	41	16.6	89.9
2,001 +	25	10.1	100.0

Educational and General (E&G) budget

The size of the Educational and General budget is another good way to describe these institutions. Table 1-2 shows the high, low, and mean expenditures of the responding institutions by enrollment size. The range for the entire population is very diverse with a low of \$2,277,400 and an unusual high of \$75,336,920 (this is an institution with three to four times the student FTE as most of the other colleges

in the study). The mean for all reporting institutions is \$13,714,556. In each enrollment group, the budgets have just a little more than doubled in five years.

*Table 1-2:
Educational and General (E&G) Expenditures by Enrollment (FTE)*

Enrollment	Range		Mean
	High	Low	
Up to 500	\$ 9,616,000	\$ 2,868,359	\$ 5,852,142
501-750	13,600,000	2,277,400	7,129,896
751-1,000	18,401,716	5,262,171	9,573,210
1,001-1,250	22,456,000	7,007,892	12,239,122
1,251-1,500	28,169,592	9,302,362	15,631,976
1,501-2,000	28,817,296	9,000,000	18,799,127
2,001 +	75,336,920	5,960,002	26,776,422
Survey Mean			\$ 13,714,556

Respondents' geographic distribution

The 247 responding institutions are located in 42 states plus the District of Columbia. Table 1-3 gives a breakdown by region; Appendix F shows the respondents by state. Seventy percent of the colleges are in the industrial belt of the northern midwestern states and the northeast. Only 6 percent are in the western states.

Table 1-3: Geographical Distribution of Respondents

Region	N	Relative frequency (Percent)	Cumulative frequency (Percent)
Northeast	69	28	28
Southeast	44	18	46
Northern midwest	104	42	88
Southern midwest	15	6	94
Northwest	5	2	96
Southwest	10	4	100

Respondents' sources of budget funding

Table 1-4 shows how the budget was funded at the respondent institutions. The survey mean shows that tuition provided 67 percent of the revenue, gift income 12 percent, endowment 5 percent, and other sources 16 percent.

*Table 1-4:
Sources of Budget Funding by Enrollment Size (Percent)*

Enrollment	Tuition			Gift Income			Endowment			Other*		
	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean
Up to 500	81	30	52	40	9.35	25	30	0.04	7	46	0	16
501-750	91.1	26	58	43	4	16	36	0.2	6	54	0	20
751-1,000	94.9	30	66	50	11	4	22	0	5	40.9	0	15
1,001-1,250	90	36	68	30.1	2.5	11	13	0	4	45.8	0	17
1,251-1,500	92.25	50	76	20	1	8	11.4	0	5	40	0	11
1,501-2,000	90	40	73	20	1.5	7	15	0	4	45	0	16
2,001 +	97	59	80	18.3	0.2	5	9	0	3	32.7	0	12
Survey Mean			67			12			5			16

*Other: auxiliary enterprises, churches, grants/aid, etc.

Respondents' titles

Fifty-four percent of the questionnaires were completed by the president (44 percent) or an assistant (10 percent). Table 1-5 presents a breakdown showing that 27 percent of the questionnaires were completed by vice presidents or directors of development or advancement, while 12 percent were completed by institutional planning officers. (See Appendix A for a list of respondents and their titles.)

Compared to previous studies, more presidents or their staffs were involved this time (from 33 percent to 54 percent); fewer vice presidents or directors of development or institutional advancement (from 50 percent to 27 percent); and more institutional planning (research) people (from 6 percent to 12 percent). This might imply that presidents are more involved in advancement, that these insti-

tutions have more institutional planning personnel, and that they take marketing more seriously.

Table 1-5: Titles of Respondents

	Number	Percent
President	108	44
Vice president or director		
Development/institutional advancement	67	27
Institutional planning (research)	30	12
Assistant to president	24	10
Other	18	7
	247	100

Endowment

The range in reported endowment size at the CIC member institutions is broad—from no endowment to \$58 million. Table 1-6 shows, as we would expect, that the larger the enrollment, the larger the mean endowment figure.

As a whole, CIC institutions have very modest endowments and therefore rely heavily on current gift income and revenue from tuition to manage financially. Generally over the years, the large endowments grew significantly and the small ones experienced modest growth.

Table 1-6: Institutional Endowment by Enrollment Size

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 227,238	\$ 17,500,000	\$ 5,445,894
501-750	0	39,382,448	6,747,500
751-1,000	262,128	58,000,000	8,537,646
1,001-1,250	100,000	50,634,000	10,773,405
1,251-1,500	397,431	48,000,000	15,128,657
1,501-2,000	1,466,438	40,000,000	11,850,293
2,001 +	0	38,000,000	14,083,119

Tuition

The range in tuition is also wide—from \$2,620 to \$12,900. The mean for all the institutions is about \$7,500. Table 1-7 provides a breakdown by enrollment size.

Table 1-7: Cost of Tuition

Enrollment	Range		Mean
	High	Low	
Up to 500	\$ 10,650	\$ 3,450	\$ 6,525
501-750	11,948	2,620	6,812
751-1,000	12,900	3,635	7,584
1,001-1,250	12,500	3,600	7,831
1,251-1,500	12,200	4,366	8,232
1,501-2,000	11,165	4,380	7,917
2,001+	10,320	3,720	7,594
Survey Mean			\$ 7,507

Room and board

Similarly, the cost of room and board varies greatly, from \$950 to a high of \$5,990. Geographical area is a significant variable for this cost figure. Table 1-8 outlines the highs, lows, and means by enrollment size.

Table 1-8: Cost of Room and Board

Enrollment	Range		Mean
	High	Low	
Up to 500	\$ 5,450	\$ 1,544	\$ 3,127
501-750	4,930	1,540	3,195
751-1,000	5,990	1,300	3,266
1,001-1,250	5,000	950	3,147
1,251-1,500	4,400	2,320	3,210
1,501-2,000	5,658	2,610	3,584
2,001+	5,000	1,730	3,485
Survey Mean			\$ 3,289

Organization of the study

The chapters that follow cover the various areas of institutional advancement: executive management (Chapter 2), development (Chapter 3), the president's role (Chapter 4), the trustees' role (Chapter 5), institutional relations (Chapter 6), alumni affairs (Chapter 7), and recruitment/admissions/enrollment management (Chapter 8).

Chapter 9 provides a glimpse of the changes over the three survey study periods—FY 1977-78, 1983-84, and 1990-91. This reflection provides an overview of the growth and increasing sophistication of the small college institutional advancement function over the past 15 years.

The Bibliography suggests resources for further reference.

The institutional advancement task is never easy, but it is hoped that this publication will help your load be a little lighter, your efforts more effective, and your institution more efficient in discovering truth, for it is the truth that sets us free.

Notes

¹ Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: Council for Advancement and Support of Education, 1981) and *A New Look at Managing the Small College Advancement Program* (Washington, DC: Council for Advancement and Support of Education, 1987).

² Wesley K. Willmer, "Beyond Knee-jerk Thinking," *CURRENTS*, January 1984, 72.

³ Walter C. Hobbs and T.B. Francis, "On the Scholarly Activity of Higher Educationists," *Journal of Higher Education*, January 1973, 51-60.

⁴ A. Westley Rowland, ed., *Handbook of Institutional Advancement*, 2d ed. (San Francisco: Jossey-Bass, 1986), 4-9.

For "About the Editor," please see page 237.

Executive Management: Coordinating the Process

Wesley K. Willmer

Executive management concerns itself with vision, planning, organization, budgeting, staffing, and evaluating the advancement functions. In many ways executive management is the key component of success in small college advancement. Both visionary leadership and capable executive management throughout the institution are essential to the broader goals of advancement.

To have a fighting chance for success, the small college institutional advancement officer needs to have at least these five basics: an appropriate budget, sufficient authority, adequate staff, an involved president, and supportive trustees. This chapter provides benchmarks from the FY 1990-91 survey of CIC colleges, the professional literature, and personal experience to assist in the management of small college advancement efforts in four areas:

- advancement functions and operations;
- advancement funding;
- advancement staffing; and
- characteristics of the executive advancement manager.

The chapter concludes with 10 suggestions for success.

Advancement functions and operations

An appropriate starting point in providing a framework for the executive management of small college advancement is to compare the functions coordinated under the advancement umbrella, the institutional commitment as reflected in reporting lines of the chief advancement officer, and the use of consultants. Each of these areas provides a sense of how the small college is managing the advancement task. The data displayed in the chapter, unless otherwise noted, are the result of the FY 1990-91 survey of CIC colleges.

Institutional advancement functions. It is pretty much assumed that the

fund raising, public relations, and alumni functions are part of the advancement function at small colleges. Tables 2-1 and 2-2 show that at the responding institutions executive management responsibilities for various advancement functions can be very broad.

Table 2-1 provides a prioritization of the functions. As would be expected, the traditional functions are handled under the advancement umbrella: fund raising, 100 percent; alumni, 98 percent; public relations, 94 percent; publications, 90 percent; and special events, 79 percent. Marketing, photographic services, parents programs, and church relations run from 63 percent to 49 percent. Admissions is included under advancement at 28 percent of the institutions; government relations is handled by 37 percent of the institutions; and conferences by 19 percent. Placement and physical plant planning are coordinated under advancement at only 9 and 11 percent of the institutions, respectively.

Table 2-1: Institutional Advancement Functions Prioritized

Function	Percent	Function	Percent
Fund raising	100	Parents Programs	54
Alumni affairs	98	Church Relations	49
Public relations/publicity	94	Admissions	28
Publications	90	Government relations	37
Special events	79	Conferences	19
Marketing	63	Physical plant planning	11
Photographic services	55	Placement	9
		Others	13

Interestingly, function responsibilities vary significantly according to the size of the institution. Table 2-2 displays institutional advancement functions by enrollment size (percent) and shows graphically how functions vary from the small to the larger institutions. For example, while 40 percent of the smaller institutions handle admissions under the advancement function, at the larger colleges only 20 percent do so. Similarly, church relations is considered an advancement function at more than twice as many smaller colleges (up to 500 FTE) as institutions with more than 2,000 FTE. Conversely, larger institutions are into government relations more than twice as much as their small counterparts. Another contrasting area by enrollment size is parents programs—the larger institutions include parents programs under the advancement umbrella twice as often as the smaller institutions (68 percent compared to 34 percent).

Institutional commitment. To operate at maximum efficiency, an institution's advancement program requires full commitment from the institution. A key component of this commitment is that the chief advancement officer have sufficient authority. This authority is demonstrated in several ways:

- the advancement officer reports to the president;
- he or she is a member of the institution's executive policy-making group;
- he or she has written institutional advancement objectives and a clear mission statement; and
- the advancement functions are centralized.

Table 2-2: Institutional Advancement Functions by Enrollment Size (Percent)

Function	Up to 500	501- 750	751- 1,000	1,001- 1,250	1,251- 1,500	1,501- 2,000	Over 2,000
Admissions	40	35	24	39	26	17	20
Alumni affairs	100	98	100	98	100	98	92
Church relations	67	63	42	44	43	51	28
Conferences	27	13	20	17	22	27	12
Fund raising	93	98	98	98	100	97	100
Government relations	20	31	44	37	26	39	56
Marketing	60	63	62	63	65	66	52
Parents programs	34	42	60	49	65	63	68
Photographic services	53	48	56	59	57	49	72
Physical plant planning	20	6	12	15	4	15	12
Placement	7	8	10	12	9	10	8
Public relations/publicity	93	96	94	93	91	98	84
Publications	87	90	94	88	87	88	92
Special events	60	73	78	83	74	83	92
Other	7	10	14	12	17	10	24

At 97 percent of the responding institutions, the chief officer reports to the president (two report to a vice president, and six report to others). This figure—up slightly from the FY 1983-84 survey and up from 93 percent in the FY 1977-78 survey—shows an increased acceptance of the idea of advancement reporting to the president.

At all but 1 percent of the responding colleges (240 out of 243), the chief advancement officer is a member of the institution's executive policy-making group (cabinet). This assures advancement representation at the highest staff level of authority within the institution.

The majority of the respondents (202 out of 243, or 82 percent) indicated that institutional advancement functions are managed and coordinated primarily through one department. In the FY 1977-78 study, only 63 percent reported that advance-

ment functions were centralized, and in FY 1983-84 this figure was 67.4 percent. Obviously, the trend to centralize advancement functions continues.

When asked, "Do you have a written statement of objectives," 84 percent (195 of 232 colleges) indicated that they did. This is similar to the previous study when 83 percent indicated they had written objectives. What is surprising about this response is that the figure has not increased to close to 100 percent.

Use of consultants. Another executive management measure assessed by the study is use of consultants. Table 2-3 shows the frequency of using consultants in the major advancement function areas.

Table 2-3: Use of Professional Consultants by Function

	Yes	No	Average days/month
Admissions/recruitment	76	156	2.22
Alumni affairs	29	213	1.08
Fund raising	150	90	3.70
Public relations	70	170	2.12

While over 62 percent of the institutions are using professional consultants in fund raising for an average of 3.7 days per month, higher percentages of colleges are not using consultants at all in the other three functional areas. In alumni affairs, particularly, very few institutions (only 29 colleges or 12 percent) use consultants.

Advancement funding

Research shows that generally the more money spent, the more successful the program. The saying, "It takes money to make money," may be trite but it's true. In advancement it takes people and program resources to cultivate friends, raise money, and recruit students. Two ways to establish benchmarks in this area are to examine the percentage of an institution's budget allocated to advancement and to look at the actual dollar expenditures.

Table 2-4 displays the low, high, and mean budget expenditures for the advancement function by enrollment size. The range, from \$38,910 to \$3,100,582, is immense, but the mean figures by size give a very good idea of the expenditures. Keep in mind that the reported expenditures are within the parameters of the functions included in advancement as shown in Table 2-2. The survey asked, "In FY 1990-91, what were your total institutional expenditures (including salaries and benefits, travel, media/promotion, etc.) to perform these functions: admissions/recruitment, alumni affairs, fund raising, public relations?" The chapters that follow discuss individual department expenditures (fund raising, alumni, public relations, and admissions).

*Table 2-4: Advancement Expenditures by Enrollment Size (FTE)
(Percent of E&G Budget)*

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 38,910	\$ 1,451,291	\$ 569,004
501-750	242,000	1,465,577	611,368
751-1,000	90,000	1,520,215	822,339
1,001-1,250	347,310	1,926,973	952,013
1,251-1,500	228,435	3,100,582	1,106,293
1,501-2,000	234,941	2,100,541	1,179,204
2,001 +	75,161	3,046,308	1,321,660

Another way to analyze advancement funding is to look at the total advancement expenditures as a percentage of the total E&G budget. Table 2-5 shows that these percentages range from 1 to 19 for the responding CIC colleges.

*Table 2-5: Budget Allocations to Advancement by Enrollment Size (FTE)
(Percent of E&G Budget)*

Enrollment	Range		Mean
	Low	High	
Up to 500	1.0	19.0	11.0
501-750	3.0	14.0	9.0
751-1,000	1.0	15.0	9.0
1,001-1,250	3.0	12.0	8.0
1,251-1,500	2.0	13.0	7.0
1,501-2,000	1.0	11.0	6.0
2,001 +	2.0	10.0	6.0

The range of the means (from 6 percent for the larger institutions to 11 percent for the small colleges) gives a good indication of the situation: The small institution must spend a higher percentage of the institutional budget for advancement than the larger one. In general, compared with the FY 1983-84 survey, smaller institutions are spending slightly less and larger institutions slightly more as a percentage of the total budget.

Table 2-6 shows the expenditures by enrollment and dollar amounts. Only 14 institutions are spending less than \$300,000.

Table 2-6: Expenditures by Enrollment and Dollar Amounts

Enrollment	Less than \$299,999	\$300,000 to \$599,999	\$600,000 to \$899,999	\$900,000 to \$1,199,999	\$1,200,000 to \$1,499,999	\$1,500,000 to \$1,799,999	1,800,000 and over
Up to 500	3	5	3	2	1	0	0
501-750	6	16	23	4	0	0	0
751-1,000	2	9	20	10	6	0	0
1,001-1,250	0	7	12	8	7	2	2
1,251-1,500	1	2	7	4	6	2	0
1,501-2,000	1	3	8	10	7	6	4
2,001 +	1	2	5	6	1	2	7

Table 2-7 shows advancement expenditures by function. The breakdown in percentages shows that the figure does not vary significantly, even by enrollment size. These percentages seem to hold fairly even over the previous study, which also indicated little variation.

Table 2-7: Advancement Expenditures by Function (Percent)

Enrollment	Fund Raising	Institutional Relations	Admissions	Alumni Affairs
Up to 500	30	14	45	11
501-750	31	14	46	9
751-1,000	29	14.5	46.5	10
1,001-1,250	28	14	48	10
1,251-1,500	32	17	41	10
1,501-2,000	30	15	45	10
2,001 +	29	20	42.5	10
Average	30	15	45	10

Advancement staffing

Quality and quantity of personnel are essential to small college advancement efforts. In addition to the skills and experience appropriate for advancement officers, there must be enough people to carry out the required tasks. The success of any one program is often a reflection of the competence, commitment, and dedication of personnel who consistently over the years have held high a vision for the institution despite the changing times. The survey collected data on staffing patterns at the administrative and clerical/secretarial levels and on the use of volunteers other than trustees. (The staffing breakdown for each of the four areas is shown in the chapters that discuss these functional areas.)

Administrative staff. Table 2-8 shows the high, low, and mean total administrative staff for the advancement functions of recruitment/admissions, alumni affairs, fund raising, and institutional relations. Staffing ranges from two to 32 full-time equivalent (FTE) professionals. The range in the means is 9.65 FTE to 15.10 FTE. This reflects a definite increase over the FY 1983-84 survey in which the means ranged from 3.9 to 6.7 FTE.

Table 2-8: Administrative Staff by Enrollment Size (FTE)

Enrollment	Range		Mean
	High	Low	
Up to 500	17.5	4.0	9.65
501-750	18.0	4.0	10.51
751-1,000	15.0	4.0	10.99
1,001-1,250	17.0	5.0	12.28
1,251-1,500	20.0	3.0	13.28
1,501-2,000	21.0	4.0	14.07
2,001 +	31.9	2.0	15.10

Clerical/secretarial staff. A key ingredient in a successful advancement operation is frequent and quality communication. Capable clerical and secretarial staff are essential to this communication process. At many small institutions, these people are the lifeblood of the operation. Table 2-9 shows that clerical/secretarial staffing at the responding colleges ranges from one person to 24 FTE. The means range from 4.03 to 8.57 FTE. Again, this staffing shows a slight increase from the two previous studies.

Volunteers. Volunteers (other than trustees) are involved at the majority of the surveyed institutions. The table below shows how the responding institutions answered the question, "In which of these functions do volunteers (other than trustees) play an active role?"

Staff enlargement. When asked, "Do you plan to enlarge this staff in the next

two years?" 42 percent of the responding colleges said "yes," 33 percent said "no," and 25 percent answered "don't know." For those who are planning to add staff, the average is 1.46 FTE administrative and 1.25 FTE clerical/secretarial.

Table 2-9: Advancement Clerical/Secretarial Staff by Enrollment Size (FTE)

Enrollment	Range		Mean
	High	Low	
Up to 500	7.5	1.0	4.03
501-750	7.5	1.5	4.61
751-1,000	12.5	1.0	5.63
1,001-1,250	10.5	1.0	6.38
1,251-1,500	14.0	2.0	6.95
1,501-2,000	24.0	4.0	8.57
2,001 +	17.5	0.2	8.11

Table 2-10: Active Roles Played by Volunteers (Other than Trustees)

	Yes	No
Admissions/recruitment	160	76
Alumni affairs	232	13
Fund raising	206	39
Public relations	78	164

In responding to the question, "How did your [institutional advancement] staff size change in the last four years?" 72 percent indicated an increase, 18 percent a decrease, and 10 percent did not know. For those reporting an increase, the average increases were 1.95 FTE administrative and 1.31 FTE clerical/secretarial. Those that reported a decrease indicated average decreases of 1.5 FTE administrative and 1.14 FTE clerical.

Characteristics of the chief institutional advancement officer. The chief institutional advancement officer plays a vital role in leading and managing the small college's advancement efforts. At nearly all (over 99 percent) of the CIC colleges responding to the survey, the chief advancement officer (CAO) is a member of the institution's executive officers' policy-making group, and 98 percent of the chief officers report directly to the president; 21 percent are women. Other characteristics of the chief advancement officer are described below.

• **Years at institution:** To be able to represent an institution well, the institution's chief advancement officer needs a good knowledge and understanding of the institution. One measure of this is how long he or she has been with the institution. Table 2-11 shows that 55.7 percent of the CAOS have been at the institution five years or fewer (in FY 1977-78 this figure was 44 percent), and of these 27.4 percent have been with the institution only one or two years. In FY 1977-78 only 24 percent were newcomers (one or two years at the institution). At the same time longevity is improving; 20 percent of the respondents have been with their institution 13 years or longer.

Table 2-11: Manager's Years with the Institution

Years	Percent
1-2	27.4
3-5	28.3
6-12	24.3
13-20	12.6
21+	7.4

• **Years in institutional advancement position:** Another measure is to look at how long the chief institutional advancement manager has been in his or her current position. Table 2-12 gives these figures. Less than a quarter of these managers (23.5 percent) have been in their positions one year or less. Over 58 percent have been in their position three years or fewer. Over 8 percent (8.7 percent) have held the current position 11 years or more.

Table 2-12: Manager's Years in Current Position

Years	Percent
1 or less	23.5
2-3	34.8
4-10	33.0
11+	8.7

• **Years in advancement:** A third experience component is the number of years in the advancement field. Table 2-13 shows that 13 percent have three or fewer years of experience while almost 40 percent have more than 25 years of experience. The involvement of more seasoned professionals is a good indicator.

Table 2-13: Manager's Years in Advancement

Years	Percent
1-3	13.3
4-8	19.9
9-14	27.0
15+	39.8

• **Age of advancement manager:** Along these same lines, age often accompanies experience. The table below shows the range of ages. While 7.4 percent of the CAOs are under 36 years old, almost 22 percent are 56 years old or older. An aging of the profession is evident over the 14 years of assessment.

Table 2-14: Manager's Age

Years	Percent
Under 36	7.4
37-42	23.7
43-49	31.2
50-55	15.8
56+	21.9

As Table 2-15 shows, 27 percent of the chief advancement officers have a bachelor's degree, 36 percent have a master's, and 27 percent have doctorates in a wide variety of majors as explained below.

Table 2-15: Manager's Highest Degree

Degree	Percent
Bachelor	27
Master	36
Doctorate	27
Other	10

• **Academic major of highest degree:** The academic majors of the CAOS in the CIC colleges cover a wide spectrum. The largest concentration (46 percent) was in the humanities. The second highest major (26 percent) was education (including higher education). About 21 percent of the respondents majored in business/economics, and 5 percent indicated history, English, or Bible/theology. The remainder reported a variety of subjects with 2 percent in law and marketing and a host of other concentrations.

Criteria for winning strategies

Many people over the years have attempted to form a template for successful advancement programs. These range from the highly objective and comprehensive CASE publication, *Criteria for Evaluating Advancement Programs* by Warren Heemann, to more general suggestions offered by Duronio and Loessin in their chapter "Reconsidering the Conventional Fund-Raising Wisdom."¹

Over 14 years ago, a process assessment framework (revised in 1986) was suggested by the author to help small colleges improve.² This framework has been used in more than a dozen thesis and dissertation efforts, but as the sophistication of the field has increased, the framework has become somewhat outdated. In its place is outlined below a framework for advancement success that includes 10 principles embodying the major concerns necessary to do well in advancement. Each of the 10 points should be customized to the unique needs of your institution.

The working philosophy of this framework is that advancement is a marketing/communication process that develops mutually beneficial long-term relationships with people who identify with the institution's mission and find fulfillment through participation. Whether you are raising funds, gaining friends, or attracting students, these points provide criteria for success:

10 Criteria for Small College Advancement Success

1. Understand the global community surrounding your institution.
2. Clarify your institution's specific mission.
3. Articulate and focus on your market position.
4. Concentrate on the long view.
5. Develop an institutional commitment to institutional advancement.
6. Assure allocation of adequate resources.
7. Promote leadership-based advancement.
8. Organize a selectively comprehensive program.
9. Use outside advice prudently.
10. Evaluate effectively.

1. Understand the global community surrounding your institution. Change is a given in our increasingly fast-paced global community. Higher education, on the other hand, prides itself on traditions; therefore change often comes very slowly. Those institutions that do well in the future will be those that can adjust

to the rapidly changing global community. The small college is no exception.

Almost everything institutional advancement people do is affected by a myriad of external forces. These social, political, and economical forces are generally bigger than individual institutions, and only when we learn to understand them can we operate effectively. You can have a textbook-perfect institutional advancement program and fail miserably if these forces are operating contrary to the direction you are taking.

In addition to significant forces like government control, some of the issues that impact higher education and affect the future institutional advancement potential of your institution include the following concerns:

- What is your geographical situation (employment, population, trends, etc.)?
- How healthy is your sponsoring organization (church, etc.)? What is its image?
- What values do your constituents hold most dear that you espouse?
- How wealthy is your institution? Does it have an endowment?
- What is your institution's size and age? How many alumni do you have?
- What is the socioeconomic level of your constituents?
- What is the academic quality or selectivity of your students?
- Are your trustees active in leadership and support?

Other issues that affect the institution include changing patterns of lifestyle, demographic changes, the proliferation of affluence, the changing age structure, the declining importance of family and church in transmitting values, the changing role of educational institutions, the effect of the "me" generation mentality, and the transformation of the work ethic from "living to work" to "working to live," to name a few. These forces will radically affect institutional advancement efforts.

The institutional advancement manager who is well-versed on these different forces can use them to the advantage of the institution. It is very important that the institutional advancement plan is developed in concert with these trends.

2. Clarify your institution's specific mission. If your institution closed today, who would care? What difference would it make? It sounds trite, but almost everything in institutional advancement work comes back to this critical issue. As Hobbs says, "Unless the institutional advancement officer is able to convey the college's vision of its purpose and character to others, in terms they can understand, advancement is an empty exercise, for there is really nothing to advance."⁴ Clarity of institutional mission/purpose helps you identify constituents who care enough to support your institution. It also provides the basis for all advancement planning.

The essence of an institution's mission is value—that is, priorities, commitments, and major themes in the college's purpose. Establishing a clear idea of the institution's mission must be a priority for, as Panas observes, the highest concern of major donors is that they like the mission of an institution.⁴ The same principle holds true with recruiting students and gaining friends.

Peck suggests that a primary strength of small and developing institutions is their unique mission. But this unique mission must be clearly defined and appropriately implemented.⁵ According to a study of 15 successful independent institutions, conducted by Earl J. McGrath and R.S. Webber, "The extent to which the institution is successful depends not just on several outstanding developmental functions with first-rate leadership, but, most importantly, on the stable stance the whole institution takes over time with respect to its mission."⁶

You must know your institution and your constituents like the back of your

hand, and constituent research and evaluation is one of the best means of accomplishing this. You cannot communicate effectively, you cannot educate, and you cannot market unless you know your audience.

3. Articulate and focus on your market position. Once you have determined your institution's reason for existence, you need to articulate and focus that reason in terms of a market position and communication strategy. A frequently used management process is to determine your market position by thinking through your mission, market, and available resources.

There are three areas you have to analyze. The first is the mission of your institution. Generally, this is the responsibility of the president and board, but often the institutional advancement officer must be proactive in assuring that the mission is clarified. Second, what is the market for your institution's product? Who wants you? Who cares if you exist? And, third, what are the resources (your institution's strengths) available for you to use in achieving the mission of your institution? Once you have identified these three areas, look at the strengths and weaknesses and problems and opportunities that present themselves. Then you can determine the mission, goals, and marketing position for your institution.

It is very common for the institutional advancement officer to take an advocate role in promoting this process. Likewise, the lack of a clearly stated position is one of the institutional advancement officer's greatest frustrations. Make sure you know why your institution exists, for whom it exists, what resources are available, and how you are going to achieve your goals.

Small colleges in particular must be market oriented—involved in the long-term communications process of exchange. In marketing, response occurs as benefits are offered, appeals are based on benefits, and all the messages sent to the media are in line with a central communication strategy. Alumni and friends' giving is based on the fact that they are loyal, they are satisfied, and they are being served by the institution, not manipulated by it.

One of the institutional advancement officers' biggest stumbling blocks is that they believe their own literature. Promotion implies that people will like your institution because you want them to do so, that they will give because you say you have a need. These are false premises too often relied upon. A significant emphasis of marketing should be to serve and provide benefits rather than to promote and manipulate a response.

4. Concentrate on the long view. Institutional advancement is a long-term communications process. Institutional advancement personnel should master long-term relationship building, and programs and actions should reflect a commitment to these relationships. An awareness of this long-term impact of all programs is imperative.

One way to assure that you are focusing on relationship building is to establish goals each year to enhance lifelong relationships—and plan to reach these goals. Having and knowing your long-range plan, emphasizing deferred gifts, and adhering to these and many other priorities demonstrates that you are focusing on the long view. A key component to keeping the future in perspective is setting appropriate priorities.

The institutional advancement officer is supposed to be a worker of miracles, wear many hats, and have all the answers. Unfortunately, the urgent rather than the important often takes up the most time and effort. The "tyranny of the urgent,"

as Charles Hummel, former president of Barrington College, termed this pervasive difficulty, means that the urgent demands quick responses, not decisions thoroughly considered and contemplated in all their many dimensions. Establishing important priorities is difficult, but it is at the foundation of whether you will succeed or not.

For most small institutions, the majority of the income comes from a few donors. Usually about 80 percent of the funds comes from 20 percent of the donors. It takes just as much time to raise \$50 or \$500 as it does \$50,000 or \$500,000. Learn to be a master at setting priorities. Be careful to spend the majority of your time with the potentially big donors.

Plan to achieve the important: Allow time to plan, take time for your staff, provide time for professional development. Establish a set of priorities for the small college advancement office that says you are in control, you are taking charge, and you are doing the important rather than the urgent.

Basic tools to accomplish proper priorities are:

- a long-range plan that includes measured strategic target goals;
- institutional objectives in writing and clearly known; and
- written annual goals and evaluations of departmental and employee performance.

5. Develop an institutional commitment to institutional advancement.

A successful institutional advancement program requires a total commitment from the institution. Raising money is not just the development office's job; bringing in students is not just the admissions and alumni offices' jobs; and developing friends is not just the public relations office's job. The entire institutional constituency needs to be pulled into these long-term relationship-building processes, and the institutional advancement officer must take a lead role in assuring this wider involvement.

Evidence of an institution's commitment is found in lines of authority and an organizational structure in which the chief advancement officer is a member of the top executive officers' group and reports to the president. Further, the institutional advancement functions should be centralized and organized to foster this centralization.

Another key reflection of this commitment is the hiring of a chief advancement officer with the experience to perform well. The president must also be actively involved in the advancement activities. Trustees and other volunteers, often organized into appropriate committees, form an essential component of the total institutional commitment.

All employees in the institution should feel that they are contributing to the advancement function by the way they serve the students and their willingness to develop relationships that enhance the institution.

6. Assure allocation of adequate resources. One way to measure an institutional commitment is to assess the allocation of budget and personnel to the advancement task. It takes both to get the job done. Earlier in this chapter and in the chapters that follow you will find guidelines of what comparable institutions are allocating in both personnel and expenditures.

Generally, 6 percent for the larger institutions and 11 percent for the smaller institutions of the E&G budget is committed to advancement expenditures (see Table 2-5). It is clear that institutions must invest money to make money. It is

the responsibility of the president and the board of trustees to make sure these resources exist.

The institutional advancement office should have adequate administrative and clerical/secretarial support both in numbers and in quality. While no set number of administrative staff is appropriate for all institutions, staff size should relate to the objectives and complexity of the program. The findings discussed earlier in this chapter demonstrate the range of staffing for small colleges.

Hiring quality and committed people is essential. Quality of personnel often can transcend quantity. Commitment to the institution is a quality on which small institutions rely because attractive salaries usually are just not available. Creative staffing can often involve students, faculty, volunteers, and credit-earning interns. All these people, if managed well, can play significant roles.

7. Promote leadership-based advancement. The demands on higher educational institutions today require that institutional advancement officers be leaders and their offices be a place of leadership for the institution. It is essential, as well, that the president and board be actively involved in institutional advancement activities. As a function, management complements that of leadership in making the latter effective.

For many years an institution's institutional advancement function was a staff position with a title such as "alumni secretary" or "contributions secretary." This individual did receipting and recordkeeping and planned alumni functions. Then, as the American College Public Relations Association (ACPRA) and the American Alumni Council (AAC) grew stronger in the 1940s and 1950s, the profession became more technician-oriented. People were heavily involved in news service work and some direct fund raising.

Starting in the 1960s with the Greenbrier Conference, the profession evolved in its concern for management. In 1975 ACPRA and AAC merged to form the Council for Advancement and Support of Education (CASE). As the demand for more sophisticated professionals continued to increase, the advancement concept came into its own.

The external publics of the 1970s and 1980s, and even more so of the 1990s, are such a powerful force that institutional advancement officers are called upon not just to be managers, but to be leaders of trends that influence their institutions deeply.

The diagram by Wayne Clugston (Figure 2-1, see page 27) helps conceptualize the leadership place of institutional advancement. You can see the different forces that play upon the institution and the fact that the institutional advancement office is the place where these different forces must come together and be coordinated as a central thrust for the institution.

Without the president's involvement, it is hard to achieve more than minimal results. The president should be an active fund raiser and promoter of the institution. He or she must be willing to spend time cultivating major prospects, making foundation and corporate calls, recruiting top volunteers, and meeting with prospective students. In addition, the president must establish and support a strong institutional advancement operation—one that has continuity.

Similarly, the board should be active in advancement. There should be a board advancement committee, and board members should provide your best support and volunteer involvement as they give and get others to give in support of the

institution's priorities.

8. Organize a selectively comprehensive program. Seldom is a textbook-perfect advancement office the most effective. No institution can do everything effectively. Customizing your program, building on the unique strengths of your organization and personnel, and doing a few things well is generally what succeeds, particularly for the small college with limited resources.

Search out the talents of your total staff; try dividing responsibilities according to talents, not titles. Allow the staff to be participants in the total process rather than conforming to a strict hierarchy of authority. Out of this type of flexibility will spring results that may surprise you.

9. Use outside advice prudently. Few colleges have large budgets for consultants. However, all need help from outside opinions. Because small college budgets seldom have a line for consultations, consider some of these options:

- Work out a reciprocal agreement with a colleague at a similar institution.
- Have periodic meetings of institutional advancement officers from other similar-sized institutions to discuss problems and share experiences.
- Use trustees, alumni, or friends of the college who are willing to volunteer their services. Do not be afraid to ask. The greatest problem is usually an unwillingness to ask others to share in your challenges. Be creative and find ways to use outside help wisely.

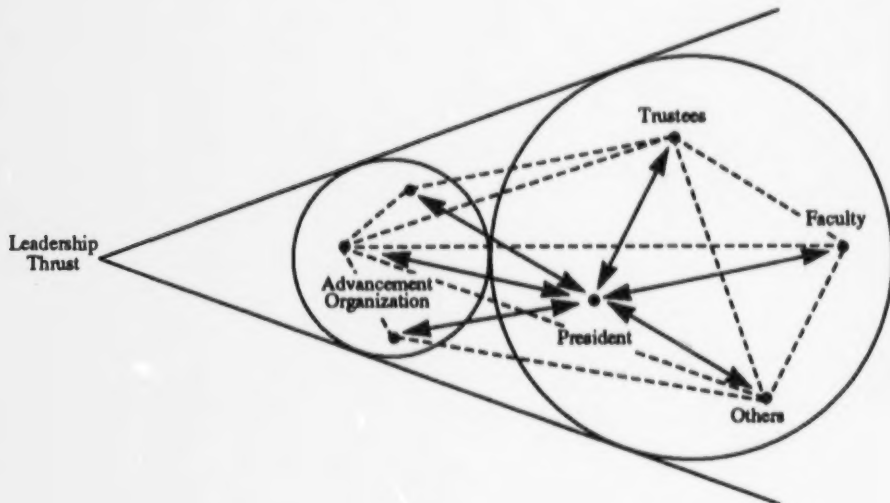
10. Evaluate effectively. Ongoing and periodical assessment is the key to staying effective in the changing marketplace, particularly with limited resources. Assessment should involve both your internal programs and the attitudes of the constituents you serve. Few programs have incorporated research into their ongoing management style, and as Payton, Rosso, and Tempel suggest, "Fund raising in particular and philanthropy in general, skate on thinner intellectual ice than is prudent."⁸

Areas of evaluation include: (1) who is giving and why, (2) who is reading your primary publications and why; (3) who is attending and why. Statistics such as how much it costs to raise a dollar or to matriculate a student provide measurable benchmarks to assess effectiveness. Most advancement officers hesitate to do research because they think it has to be elaborate, expensive, and complicated. This is just not true. You can learn from others, borrow instruments or design your own, and proceed. Do not be afraid to learn about your institution. It may be a matter of life and death for your college.

An important part of your job is to help others understand that institutional advancement means more than raising money. Stress that you are advancing the college when you help avert a lawsuit over campus expansion, when you work in government relations to increase student aid, when you improve student retention through better on-campus communication, and when you reduce waste through better management.

The challenge is big and the opportunity great for the small college, but we must always remember that the small college institutional advancement challenge is a long-term process of building and maintaining relationships—an effort that must continue day by day as long as the institution wants to remain healthy.

Figure 2-1: Relationships Required for Building a Leadership-based Advancement Organization



Reprinted with permission from *Advancing the Small College*, ed. Wesley K. Willmer, *New Directions for Institutional Advancement* no. 13 (San Francisco: Jossey-Bass, 1981).

Notes

¹ Warren Heemann, ed., *Criteria for Evaluating Advancement Programs* (Washington, DC: Council for Advancement and Support of Education, 1985); Margaret A. Duronio and Bruce A. Loessin, "Reconsidering the Conventional Fund-Raising Wisdom" in *Effective Fund Raising in Higher Education* (San Francisco: Jossey-Bass, 1991), 197.

² Wesley K. Willmer, ed., *Advancing the Small College*, *New Directions for Institutional Advancement* no. 13 (San Francisco: Jossey-Bass, 1981), 71.

³ Walter C. Hobbs, "Positioning a Small College," in Willmer, *Advancing the Small College*, 21.

⁴ Jerold Panas, *Mega Gifts* (Chicago: Pluribus Press, 1984), 54.

⁵ Robert D. Peck, "Entrepreneurship as a Significant Factor in Successful Adaptation," *Journal of Higher Education*, March/April 1984, 269-285.

⁶ Earl J. McGrath and R.S. Webber, *Faculty Dialogue* (Washington, DC: Institute for Christian Leadership, 1985), 2.

⁷ R. Wayne Clugston, "Advancing Through the Looking Glass: A Servant Leadership Perspective for the Small College," in Willmer, 9.

⁸ Robert L. Payton, Henry A. Rosso, and Eugene R. Tempel, "Toward a Philosophy of Fund Raising," in *Taking Fund Raising Seriously: Advancing the Profession and Practice of Raising Money*, ed. Dwight F. Burlingame and Lamont J. Hulse (San Francisco: Jossey-Bass, 1991), 276-77.

For "About the Editor," please see page 237.

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Development: Winning Strategies for Fund-raising Success

G. Blair Dowden

Strategy—the substance that winning situations are made from. Without it, Joe Gibbs and the Washington Redskins would not have defeated the explosive, no-huddle offense of Jim Kelly and the Buffalo Bills in Super Bowl xxvi. Without strategy, John F. Kennedy's promise of putting a man on the moon would not have been achieved. And without strategy, billions of dollars would not be contributed annually to educational causes.

For the small, independent college administrator, developing winning fund-raising strategies is increasingly important in these challenging times. Constraints to small college fund-raising success in the 1990s include public university competition for private support, stock market volatility, constantly changing economic forecasts, and a diminished perception of the value of private higher education. In these challenging times, it would be well to heed Brian O'Connell of Independent Sector: "Raising money takes dogged persistence, bullheadedness, salesmanship, year-round cultivation, board support and encouragement, a plan, an attainable goal, and lots of excitement—to wit, it's hard work."¹

Hard work and persistence pay off. In 1990, \$122.5 billion was given to a variety of charitable organizations. Ten percent of these funds, or almost \$12.5 billion, went to educational institutions—including small, independent colleges.² The small colleges that received these funds employed strategies—winning strategies—to achieve success. What are these strategies? How does one institution compare with another? How can an institution achieve success in fund raising?

This chapter suggests as possible answers to these questions 10 winning strategies for fund-raising success. The strategies are based on a review of fund-raising literature, as well as the results of the FY 1990-91 survey of the members of the Council of Independent Colleges (CIC). While application of the strategies will

differ from institution to institution depending on campus climate, history, financial resources, and leadership style, the principles remain fundamental to a small college's ability to secure an increasing share of the philanthropic dollar.

Winning strategy no. 1: Organize for action

Gifts and grants must be generated in order to balance institutional budgets at small, independent colleges. This truism is illustrated among the CIC colleges surveyed. Table 3-1 displays the tuition, gift, endowment, and other income that make up the educational budget. Gift income comprises from 1 percent to 50 percent of the budget, and endowment income comprises from 0 percent to 36 percent.

Table 3-1: Educational Budget Income by Category

Category	Range (Percent)		Mean
	Low	High	
Tuition	26	97	67
Gift income	1	50	12
Income from endowment	0	36	5
Other	0	54	16

Effective organization is important in raising these "budget-balancing funds." The most effective organizational structure for fund raising and other institutional advancement functions varies from institution to institution, depending on history, staff size, presidential strengths, and campus culture. However, since 1958 when the Greenbrier Conference strongly recommended coordinating advancement functions in one office, a centralized model coordinated under one executive has been the organizational approach used by a majority of colleges and universities.⁴ As Shea notes, "Functions have grown markedly in the last three decades [since 1958] making the case for coordination stronger than ever."⁵

Fisher, in an essay advising presidents, states that the "most efficient and effective design for a fund raising program" is a centralized approach where the vice president/director of development reports directly to the president. Fisher believes that this design will result in an "over-productive fund raising program" characterized by "unusual attention paid to major gifts and planned giving, a separate corporate/foundation emphasis, productive telethons, and a high number of solicitation calls."⁶

A majority of the surveyed colleges (82 percent) used a centralized approach to organize their institutional advancement functions.

In addition to the advancement structure, a small number of the surveyed colleges (9 percent) have formed a legally separate foundation for the purpose

of raising funds. Presumably, although the data do not clarify this point, these separate foundations are coordinated through or closely associated with the work of the institutional advancement and development staffs.

A centrally organized institutional advancement structure is generally led by a chief advancement officer. In the most effective institutions, this officer participates fully in formulating institutional policy and is a member of the senior administrative group. Duronio and Loessin, in a study of 10 institutions that were effective in fund raising, discovered that "in most of these effective institutions, vice presidents and other senior development staff played an important role in helping to set institutional long-range goals and directions."⁶ This appears to be the case in the surveyed colleges: Virtually all (99 percent) of the responding institutions indicated that their chief advancement officer was a member of the institution's executive officer's policy-making group.

Duronio and Loessin also note that "because of the increased importance of effective fund raising, the expertise and specific knowledge of the chief development officer is more valued. In many institutions the position has been elevated to the vice president's level, and the chief development officer now serves as one of the president's key advisors."⁷ This was found to be true in the surveyed institutions. Ninety-seven percent indicated that the chief advancement officer reports to the president.

In addition to staffing and reporting considerations, another important organizational task for the small college is the proper budgeting of the fund-raising function. Wilson C. Levis urges nonprofit organizations to invest more money in fund raising: "Increasing giving at a faster rate of growth will require wise investment in fund raising at a faster rate."⁸

What constitutes a wise investment in fund raising for the small college? In a study of effective fund-raising institutions, Loessin, Duronio, and Barton found that the amount of money spent on fund-raising programs is an important variable for predicting total voluntary support.⁹ Their data suggest that, in general, the more money spent on fund-raising programs, the more money raised.

The surveyed colleges invest significant resources in fund-raising efforts. Table

Table 3-2: 1990-91 Fund-raising Expenditures by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 7,000	\$ 481,792	\$ 203,344
501-750	40,000	715,628	199,017
751-1,000	24,225	621,655	250,447
1,001-1,250	56,901	783,176	293,832
1,251-1,500	50,000	1,766,619	382,369
1,501-2,000	48,900	1,000,000	388,539
2,001 +	15,000	1,582,684	409,566
Survey Mean			\$ 295,990

3-2 shows the ranges and means for institutional investments in fund-raising salaries, benefits, travel, media/promotion, and other costs.

Are these expenditures enough? How do the small colleges in the survey compare to other higher education institutions? How much should it cost to raise a dollar? *Expenditures in Fund Raising, Alumni Relations, and Other Constituent (Public) Relations* (a study of 51 colleges and universities, conducted by the Council for Advancement and Support of Education (CASE) and the National Association of College and University Business Officers (NACUBO) and funded by the Lilly Endowment, Inc.) confirms "the conventional wisdom that fund-raising costs in the aggregate usually run about 15 percent of the amount raised."¹⁰ It also notes that many other factors affect the cost of raising a dollar and direct comparisons from one institution to another are somewhat difficult. However, this CASE/NACUBO research revealed the following cost benchmarks:

- It costs between eight and 16 cents to raise one dollar.
- The return on investment of dollars spent in fund-raising programs ranges from 525 percent to 1,150 percent.
- The average institution spends over 2 percent of its total educational and general budget for fund raising.
- The amount spent on fund raising per student enrolled ranges from \$67 to \$379.
- The amount spent on fund raising per alumnus of record ranges from \$20 to \$47.
- Each fund-raising professional accounts for an average of \$500,000 to \$1.1 million in gift revenue produced.
- "The amounts generated by the college or university development program exceed the salaries paid to development personnel (including support staff) by a factor of ten or more."
- Fund-raising personnel expenditures range from 58.1 percent to 68.5 percent of total fund-raising costs.
- Services, supplies, and other expenditures for fund raising range from 31.5 percent to 41.9 percent of total fund-raising costs.¹¹

Other organizational issues also affect fund-raising success. Gonser, Gerber, Tinker, and Stuhr, in their periodic bulletin, list several guidelines for effectively organizing and managing the development function:

1. Have up-to-date and consistent job descriptions.
2. Set specific dollar goals and develop detailed departmental budgets.
3. Organize the development staff to give effective support to the president and to build and service a volunteer team.
4. Stress the importance of completed staff work.
5. Stress teamwork.
6. Place major emphasis on major gifts.
7. Organize your development program with a donor in mind.¹²

Small independent college administrators should observe these guidelines to organize their fund-raising activities for action and success.

Winning strategy no. 2: Prepare thoroughly and develop appropriate plans

Preparation and planning—two vital elements for fund-raising success in the small college. An effective and productive development officer carefully prepares each document, each contact, each call, and each letter. He or she develops plans for the department as a whole and for each fund-raising program.

The necessity for thorough preparation and adequate planning is a universally accepted principle and is well-documented. One consultant encourages development officers to "plan, prepare and anticipate." He states, "The effective development officer is adept at planning strategies, campaigns, timetables, budgets, retreats, meetings, and solicitation calls.... There is no substitute for advance preparation in all development activities."¹³

Nelson emphasizes the need for planning and establishing program goals and strategies. He defines planning as "nothing more than determining how to get from here to there," and offers the following questions to begin planning: "Where are we now? How did we get here? Where are we going? Where should we be going? How will we get there?"¹⁴

Some might say that time spent in preparation and planning takes away from time spent in soliciting gifts. It is true that too much preparation and planning can lead to "paralysis by analysis," preventing implementation of the plan, making the contacts, and securing the gifts. However, "Most projects involve 80 percent preparation and 20 percent implementation."¹⁵ And McCaskey notes, "The time and energy you spend in planning are directly proportionate to your success."¹⁶

Successful fund raisers concentrate on preparation and planning. Panas notes that "Planning is the seed from which winning takes root and grows."¹⁷ In their study of 10 successful fund-raising programs in higher education, Loessin and Duronio found that "Planning is an accepted part of the fund-raising process in institutions with successful fund-raising programs and outcomes. A formal planning process was present in six of the ten institutions and about to be undertaken in three more."¹⁸

Planning appears to be in place at the surveyed CIC institutions. Most of the institutions indicate that they have prepared written objectives for institutional advancement (84 percent) and developed an active plan to increase endowment (85 percent) and to increase the annual fund (92 percent).

One of the significant elements of planning is gathering appropriate research on the source of gifts, why individuals give, and what fund-raising activities are most successful in generating funds. Development officers who have this data can concentrate on activities and persons who will yield the greatest return in gifts for the institution. As Willmer notes, "For most small institutions the major portion of income comes from a few donors. Usually about 80 percent of the income comes from 20 percent of the donors. It takes just as much time to raise \$50 or \$500 as it does \$50,000 or \$500,000. Learn to be a master at setting priorities. Be careful to spend most of your time with the potentially big donors."¹⁹

Data that explain *why* a donor gives to an institution are often obtained through a market analysis of the donor constituency. This analysis tests donors' perceptions of the institution and highlights their motivations for giving. It is an important tool in the planning process. Of the surveyed CIC colleges, only 29 percent had

conducted a market analysis of the donor constituency during the last three years.

The CIC colleges were asked to indicate the percentage of their gift income generated by various categories of constituents. Table 3-3 documents that alumni, other friends, and foundations are the most significant sources of gift income.

Table 3-3: Sources of Gift Income

Source	Percent
Alumni	17
Other friends	15
Foundations	12
Trustees	10
Businesses	10
Churches	10
Government grants	10
Other	10
Parents	3
Faculty	2
Students	1
Total	100

Surveyed institutions also rated various fund-raising activities according to net income generated. Table 3-4 indicates that personal contact is the most productive activity in generating net income. The literature also supports personal solicitation as the most effective fund-raising method.²⁰

*Table 3-4: Net Income Generated**

Fund-raising Activity	Mean
Personal contact	1.32
Direct mail	2.59
Telemarketing (phonathons)	2.74
Other	2.84
Special events (banquets, etc.)	3.64
Area representatives	3.73
Radio programs/spots	5.00
TV programs/spots	5.82

* Ranked by amount of net income generated, with "1" indicating the most income, "2" the second largest amount, etc.

Development officers need to prioritize and concentrate on those things that will make a difference in net income generated to the institution. As McGoldrick notes:

Without exception, all development programs must concentrate on "the critical few," that small number of potential donors in each of those constituencies who, by their ability and inclination, will determine the program's success.... There should be a written plan for each of these 50 to 100 donors. Many will be familiar names: trustees, important alumni, local corporations. Determine your personal development priorities from this list.²¹

While planning is vitally important to a successful fund-raising operation, it must be based on information gained through a market analysis and a study of who gives to the institution and why.

There are a variety of methods of effective planning. One method is to develop a consolidated fund-raising plan that addresses all the needs and opportunities for advancing the college. O'Connell of the Independent Sector suggests the following method:

- Define the need(s).
- Identify types of fund raising to be undertaken.
- Establish realistic goals.
- Determine volunteer needs.
- Set a firm timetable.
- Establish a budget.
- Receive board approval for plan.
- Recruit volunteers.
- Implement.
- Provide for recognition and awards.
- Develop further plans with heavy involvement of those who participated in the first success.²²

No matter what planning process is used, it should first focus on institutional mission and objectives. One commentator states, "The college and university must have a thoroughly prepared, well-documented, academic blueprint. It is a plan that shows where the institution has been, where it is now, and where it proposes to go in carrying out its program of service to society."²³ All fund-raising plans should be based on this institutional plan. Fund raising is not a function in itself, but a method of helping the institution achieve its plans and objectives. As Manning notes, an institutional plan is "an aid to fund raising, it provides a guide to the kinds of gifts needed and the ways they will be used to further the work of the institution."²⁴

When you are planning, think boldly and creatively. Panas says, "Make no small plans. Donors want to cross over thresholds and be a part of expanding new horizons."²⁵ Or, as Harold J. Seymour notes in his classic book, *Designs for Fund-Raising*, "You never know how far you can reach until you stretch."²⁶

Preparation and planning are vital to successful fund raising in the small college. Prepare at each step of the process, and plan both the broad vision and the small

details. This preparation and planning will pay rich dividends in meeting institutional objectives through fund raising.

Winning strategy no. 3: Hire a sufficient number and quality of staff

Staffing is an important ingredient of successful fund raising. Without a sufficient number of qualified staff, small independent colleges would have difficulty achieving goals and objectives. Gonser, Gerber, Tinker, and Stuhr state that "development goals are so demanding that nothing less than the strongest leadership is required in each area."²⁷

In the final analysis, Panas notes, "The results don't depend on the fund raiser" but on a project that has "integrity, excellence, and urgency." However, if the cause is right, Panas concludes, staff does make a critical difference in meeting organizational goals.²⁸

If staff are so important to fund raising, independent college administrators rightfully ask, "How many staff are needed" and "What are the qualities for effective fund-raising personnel?" Tables 3-5 and 3-6 display the number of fund-raising staff by enrollment size at the CIC colleges responding to the FY 1990-91 survey. Both administrative and clerical/secretarial staff generally increased with enrollment size. Administrative staff FTE ranged from 0.5 to 11.5. Clerical/secretarial staff FTE ranged from 0.1 to 10.

Table 3-5: Fund-raising Administrative Staff by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	1.0	5.5	2.71
501-750	0.5	6.0	2.50
751-1,000	1.0	7.0	2.91
1,001-1,250	0.5	8.0	3.52
1,251-1,500	1.0	7.0	3.97
1,501-2,000	1.0	10.0	4.77
2,001 +	0.5	11.5	4.44
Survey Mean			3.47

Whether these staff sizes as reported by CIC institutions were optimal or sufficient is unknown. Willmer notes, "Studies suggest, however, that small colleges should employ from two to five resource development professionals with an additional two to five supporting staff. Research suggests that four persons, perhaps three in certain cases, constitute the minimum professional staff for an effective small college program."²⁹

*Table 3-6: Fund-raising Clerical/Secretarial Staff
by Enrollment Size (FTE)*

Enrollment	Range		Mean
	Low	High	
Up to 500	0.5	3.5	1.53
501-750	0.4	4.0	1.76
751-1,000	0.15	5.0	2.00
1,001-1,250	0.5	5.0	2.30
1,251-1,500	0.1	5.0	2.62
1,501-2,000	0.5	10.0	3.67
2,001 +	0.2	7.0	2.53
Survey Mean			2.37

What is an optimal staff in one small college might not be optimal in another. Variations in number of donors, institution size, fund-raising needs, volunteer/trustee leadership, presidential participation, and other factors impact staff needs. As Paul Wisdom notes, "The best way to determine the effective number of staff... is first to look at the functional area you need to cover. Then decide whether a single individual is required, or more, at a particular institution to cover each area, or whether one person can handle the several functions."⁹⁰

The determination to increase staff size has been made at a majority of the surveyed colleges. Seventy-two percent indicated an increased staff size in the last four years, with an average increase of 1.95 administrative FTE and 1.31 secretarial/clerical FTE. However, several of the institutions (18 percent) reported a decrease. The average decrease for these institutions was 1.51 FTE for administrative staff and 1.14 FTE for secretarial/clerical staff. Table 3-7 indicates the average increase and decrease in administrative and secretarial/clerical staff.

Table 3-7: Four-year Increase/Decrease in Staff by Enrollment Size (FTE)

Enrollment	Average Increase (72 percent of respondents)		Average Decrease (18 percent of respondents)	
	Admin.	Cler.	Admin.	Cler.
Up to 500	1.53	0.75	0.75	1.00
501-750	1.74	1.06	1.00	0.80
751-1,000	2.09	1.29	1.31	1.20
1,001-1,250	2.28	1.47	1.72	1.14
1,251-1,500	2.11	1.25	2.33	1.67
1,501-2,000	1.93	1.66	2.00	1.00
2,001 +	1.65	1.32	2.00	1.33
Survey Mean	1.95	1.31	1.51	1.14

In looking toward the future, 42 percent of the surveyed colleges indicate that they plan to enlarge their staff in the next two years. Table 3-8 displays the average increase anticipated for administrative staff and clerical/secretarial staff by enrollment. The average for all institutions is an anticipated 1.46 FTE increase in administrative staff and 1.23 FTE in clerical/secretarial staff.

Table 3-8: Anticipated Staff in Next Years by Enrollment Size (FTE)

Enrollment	Plan to Increase			Anticipated Ave. Increase	
	Yes	No	Don't Know	Admin.	Cler.
Up to 500	7	5	5	1.33	0.90
501-750	21	15	16	1.56	1.27
751-1,000	23	15	12	1.45	1.15
1,001-1,250	14	15	10	1.29	1.25
1,251-1,500	7	11	4	1.36	1.00
1,501-2,000	16	16	9	1.35	1.32
2,001 +	13	6	5	1.89	1.50
Survey Mean				1.46	1.23

The hiring of quality development staff is a key ingredient in an effective fund-raising program, yet many wonder how to hire quality staff and what qualifications to look for. A recent study of 72 colleges in the Christian College Coalition confirmed that the hiring of a chief development officer and other development staff is an important institutional concern, especially in light of the great demand for experienced individuals which results in a high turnover rate.⁴¹ While many colleges can attract highly experienced individuals, others must "grow their own" and provide on-the-job training for inexperienced, but high potential, individuals.

Whether you are hiring experienced personnel or fund-raising novices, there are several qualities you should look for. In his study of fund raisers, Panas lists 10 characteristics, attributes, and skills: impeccable integrity, being a good listener, ability to motivate, high energy, concern for people, high expectations, love of the work, presence, perseverance, and ability to provide quality leadership.⁴²

Whether you use this list or another, you'll want to look for people who will be both committed and effective fund-raising personnel. Strong fund-raising leadership is essential. "More effective and insightful leaders are required for envisioning future directions, designing creative plans and programs which will transform dreams into reality, and attracting and inspiring the people to work for their attainment."⁴³

Winning strategy no. 4: Extend your work through volunteers

Fund-raising staff and presidents in small colleges have limited time, energy, and resources to contact numerous people, write various letters, and initiate a significant number of telephone calls. Volunteering—"the process of giving freely of one's time, energies, and endorsement to a worthy cause"—is one way to extend the time, energies, and reach of an institutional staff. As Snelling notes, "The volunteer is central to the effectiveness of institutional advancement, an irreplaceable member of the team."⁴⁵

Research and experience confirm the contribution of volunteers to an effective small college fund-raising program. They "make things happen. They help formulate policies and decisions. They bring new insights and objective assessments. They extend the institution's image. They defend the college against unwarranted criticism. They keep the staff on its toes. They help raise money. They become good donors themselves."⁴⁶

Volunteers make a difference when mobilized by an effective, professional staff. Panas urges fund raisers to "build around you the greatest, the most effective people. Not only staff, but volunteers."⁴⁶ McGoldrick says, "No matter how good your staff, the leverage of volunteers improves your program's quality and shows constituent involvement. Look for breadth of involvement by alumni, parents, and friends."⁴⁷

A 1986 national survey by Yankelovich, Skelly, and White of the charitable behavior of Americans found that volunteering is very important to fund raising. The data show a relationship between volunteering and giving. Approximately three out of five high-level donors were found to be active volunteers. In addition, the study showed that there is a potential for enlarging the number of volunteers. "Seventy-eight percent of those interviewed agreed that every person should volunteer some of his/her time, but only 47 percent of the respondents were active in volunteer circles during the past year."⁴⁸

Individuals volunteer to participate in fund-raising activities for a variety of reasons. Biles lists several factors that motivate people to volunteer including a desire to be helpful, interest in the organization, religious concerns, seeking prestige and social status, and gaining visibility as a community leader.⁴⁹

Effective volunteers for the small college include board and advisory group members and alumni and friends. The top volunteers in any small, independent college are members of the governing board. The important role of trustees in institutional advancement programs is effectively documented by Robert Neff in Chapter 4 of this book, "The Trustees' Critical Role in Small College Advancement." His point: Unless the board provides strong leadership in the fund-raising process by word and deed, other volunteers cannot be expected to participate in institutional fund raising. In fact, trustee leadership in fund raising is so essential that it has been described as one element of a triad or three-party relationship (with the development staff and the president) that leads to fund-raising effectiveness.⁵⁰

Research has confirmed that volunteers play an active role in the small college fund-raising process. A study published in 1990 of Christian College Coalition institutions indicated that 77 percent of the colleges use volunteers in fund raising.⁵¹ Data from the CIC survey parallels these findings. Of the responding institutions, 84 percent indicated that volunteers (other than trustees) are active in fund raising.

The CIC institutions were also asked about the role of volunteers and others in the solicitation of \$1,000+ donors. Table 3-9 indicates that 9.6 percent of the \$1,000+ donors and prospects were solicited face to face by volunteers, and 10.7 percent were solicited by trustees.

Table 3-9: Percentage of \$1,000+ Donors Solicited by Category

Category	Percent
Staff	46.4
President	32.0
Trustees	10.7
Volunteers	9.6
Other	1.3
Total	100.0

Panas stresses the importance of using the right person in soliciting major donors: "It may be a volunteer, it may be a friend, or it may be staff. But the right person. That's the key."⁴²

If volunteer leadership is essential, we might ask, "What makes a good volunteer and how can I effectively structure the volunteer organization?"

Someone once suggested (facetiously) that a desirable volunteer possesses a nice office, access to a company plane, and membership in good clubs. While these attributes may be useful, they are neither necessary nor sufficient. Successful volunteers are those who have a commitment to the cause of independent higher education, a desire for service, and an interest in becoming involved in the institution. They are not necessarily the wealthiest or the most influential individuals. In fact, Panas recommends, "It is far better to have the number one commitment of a lower level volunteer than the number two or number three commitment of the highest level volunteer. The most influential person possibly will not be your most effective solicitor unless he or she brings an immovable, overwhelming, uncompromising commitment to the program."⁴³

Small college administrators need to be effective in organizing volunteers. Seaman notes that "a strong volunteer organization can broaden your program's outreach, develop a larger visibility and sense of ownership for the capital gifts program, and serve as a means of self-cultivation of capital gifts prospects on the theory that the best donors are those who know, care, and work."⁴⁴ His four basic concepts for the capital campaign volunteer organization can be applied to other fund-raising programs as well:

1. Your volunteer organizational structure starts at the top with your governing board.

2. The institution's president or chief executive officer must be involved.
3. The volunteer structure should enable you to maximize the number of volunteers from every source—alumni, parents, friends, faculty, students, corporations, and foundations.
4. The volunteer organization should embrace all of the appropriate constituent groups of the institution, including students and faculty.⁴⁵

Training is essential to any effective volunteer organization. Every institution should have a well-written volunteer handbook that includes a description of the campaign or project, timetable for activities, the solicitation process and helpful hints to implement it, facts about the institution, and reporting requirements and procedures. Volunteers should attend extensive orientation sessions. Also useful in volunteer training is the booklet, "Winning Words—A Volunteer's Guide to Asking for Major Gifts," published by the Council for Advancement and Support of Education.

Effective use of volunteers is a winning fund-raising strategy that will extend and assist the work of the development staff and president in the small college. Time spent in organizing and implementing the work of volunteers should pay rich dividends in fund-raising success.

Winning strategy no. 5: Secure adequate unrestricted funds

Funds given to higher education institutions are typically directed toward one of three purposes: unrestricted, capital, or endowment. Unrestricted funds, raised annually to help an institution balance the budget, are usually solicited through the mail, telephone contact, or personal visits. Capital gifts are periodic gifts that fund buildings and equipment; they are generally solicited through personal contact, but can also be solicited by mail and telephone. Endowment gifts provide investment funds, the interest from which the institution uses for scholarships, programs, academic chairs, and unrestricted funds. Endowment gifts are typically solicited through personal contact and often involve deferred giving.

The most essential gifts for a small, independent college are unrestricted because they are gifts to live by. All small colleges rely on them to balance the budget. They are not designated for any specific part of an institution's program, but are used to meet educational and general budgets. They pay salaries, fund maintenance projects, purchase library books, provide heating and cooling for campus buildings, and service a variety of institutional needs.

Unrestricted giving, or the annual fund, forms the foundation for all other kinds of fund-raising programs. It provides an institution with a "base of supporters," provides an "important staff training ground," and provides an "important cultivation event in the life cycle of major donors."⁴⁶

In pragmatic terms, unrestricted gifts are essential and critical to the fiscal health of the small college. Table 3-10 shows that a significant percentage of the educational budgets of the CIC colleges is met by gift income. On the average, 12.1 percent of the educational budget comes from gift income. The data reveal,

however, that the smaller the institution, the higher the percentage of the budget is met by unrestricted gift income. The range for all institutions across enrollment size is 0.2 percent to 50 percent.

Table 3-10: Unrestricted Gift Income by Enrollment Size (FTE)

Enrollment	Percent of Budget
Up to 500	25
501-750	16
751-1,000	14
1,001-1,250	11
1,251-1,500	8
1,501-2,000	7
2,001 +	5
Survey Mean	12.1

These results are somewhat higher than those reported in the study, *Expenditures and Fund Raising, Alumni Relations, and Other Constituent (Public) Relations*. Among the 51 institutions surveyed for that study, unrestricted funds accounted for 3.51 percent to 12.68 percent of the institution's total educational and general budget.⁷

Table 3-11: Percentage of Fund-raising Efforts Toward Unrestricted Funds by Enrollment Size (FTE)

Enrollment	Percent
Up to 500	60
501-750	47.5
751-1,000	60.95
1,001-1,250	56
1,251-1,500	52
1,501-2,000	58.25
2,001 +	50
Survey Mean	54.3

For the CIC surveyed institutions, the raising of unrestricted funds is an important part of their fund-raising programs. The institutions reported that, on the average, 51.3 percent of their fund-raising efforts are directed toward annual unrestricted money. Table 3-11 displays the percentages by enrollment size.

This significant effort in attracting unrestricted funds resulted in the institutions receiving an average of \$1,101,068 for current operations. Table 3-12 displays the total private gifts received for the 1990-91 fiscal year for current operations by enrollment size. Total gift income for operations ranges from \$11,906 to \$9,962,105.

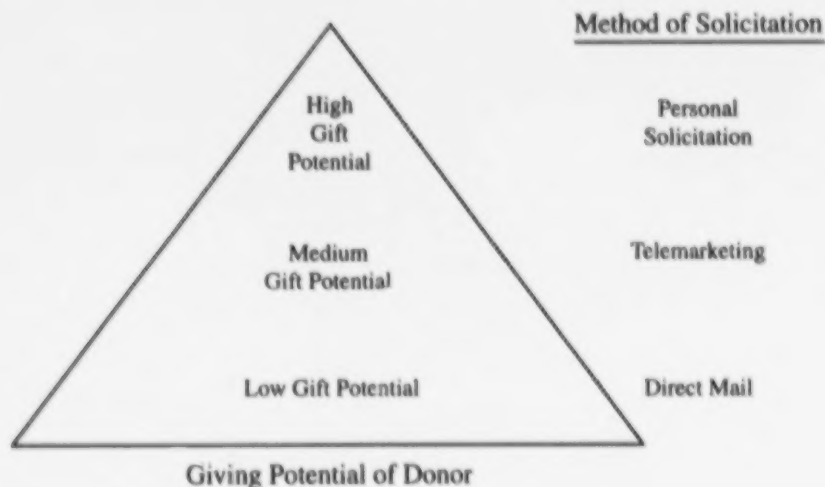
Table 3-12: Total Private Gifts Received for Operations in FY 1990-91 by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 286,437	\$ 2,505,329	\$ 1,189,663
501-750	180,000	2,500,000	1,000,468
751-1,000	45,000	3,103,318	1,015,156
1,001-1,250	100,000	9,962,105	1,340,655
1,251-1,500	62,887	2,852,408	989,078
1,501-2,000	11,906	4,142,980	1,165,468
2,001 +	94,204	3,550,257	1,058,733
Survey Mean			\$ 1,101,068

The CIC colleges use many different methods to raise gift income. Responding institutions ranked their fund-raising activities according to the amount of net income generated. These activities are listed below in descending order of importance (and see, also, Table 3-4 above):

- personal contact,
- direct mail,
- telemarketing,
- foundation proposals,
- special events,
- area representatives,
- radio programs/spots, and
- TV programs/spots.

Personal contact, direct mail, and telemarketing are the primary methods for raising unrestricted gift income. Each of the three methods is often directed toward a specific level of donor based on giving potential (Figure 3-1).

Figure 3-1: Solicitation Method and Giving Potential of Donor

Direct mail. Direct mail is second only to personal contact as an income producer for the surveyed colleges. Although mail solicitation is often considered the least effective method of fund raising as compared with personal contact and telephone solicitation, the CIC colleges found it a good method of reaching a broad spectrum of constituents, acquiring new donors, and encouraging existing donors to increase their gifts to the institution. To be effective, mail solicitation needs significant planning and good strategy, careful scheduling, personalization and targeting, and systematic acknowledgment. Howe says, "Three cardinal elements count heavily in annual gift solicitations: the mailing list, the appeal letter, and the personalized approach."¹⁸

Table 3-13: Total Mailing List by Enrollment Size (FTE)

Enrollment	High	Low	Mean
Up to 500	45,200	4,715	14,555
501-750	27,200	1,800	10,993
751-1,000	23,482	9,000	11,774
1,001-1,250	86,726	7,000	17,480
1,251-1,500	60,000	3,600	16,409
1,501-2,000	50,000	6,600	17,055
2,001 +	65,000	4,450	23,065
Survey Mean			15,087

A good mailing list is a key to effective mail solicitation. Names and addresses need to be accurate, and the list needs to be segmented by different donor types, frequency, and amounts. Also, names should be added on a continuing basis to reflect a growing base of support. Table 3-13 displays the size of the mailing lists for the responding institutions by enrollment. On the average, 54 percent of the total mailing list is made up of alumni. The range of list size is from a low of 1,800 names to a high of 86,726.

Table 3-14 outlines the frequency with which items were sent to the mailing list during the 1991 calendar year. The responding CIC institutions sent an average of 2.9 fund-raising letters per year to constituents.

*Table 3-14: Items Sent to Mailing List by Enrollment Size (FTE)**

Enrollment	News/ Mag.	Gen. Appeal	Maj. Donor	Reg. Donor	Lapsed Donor	Non- Donor	1st Tm. Donor	Other
Up to 500	4.64	3.31	2.58	3.33	1.73	1.70	2.67	2.00
501-750	4.25	3.42	2.41	2.58	2.30	2.52	1.94	2.57
751-1,000	4.44	2.91	2.28	2.72	1.97	1.91	1.69	2.83
1,001-1,250	4.29	2.91	1.86	2.18	2.06	1.65	1.57	1.60
1,251-1,500	5.09	2.29	2.03	2.06	1.79	1.77	1.56	2.00
1,501-2,000	5.29	3.43	2.50	3.00	2.46	1.96	1.60	1.83
2,001 +	4.36	2.28	2.91	2.96	2.48	2.27	2.50	2.43
Survey Mean	4.58	2.99	2.35	2.66	2.16	2.02	1.84	2.19

* Represents items sent during 1990.

Although direct mail is generally not considered as beneficial as telemarketing and other solicitations, it has been found to be quite effective among some constituent groups. Yankelovich, Skelly, and White, in their study of charitable behavior of Americans, found that "Mail solicitations are more effective than other forms of [nonpersonal contact] fund-raising techniques when directed toward individuals who tend to make large donations." Their study of 1,151 Americans found that, among donors making larger donations, mail solicitation are more effective than telethons, radiothons, phone campaigns, television commercials, or media ads.⁶⁷

Telephone. Telephone solicitation has been called the "next best thing to being there." If done effectively and organized properly, telephone solicitation can provide many of the elements of personal solicitation. If combined with a direct mail effort, it provides an effective method for raising funds. The surveyed CIC colleges ranked telemarketing just behind personal contact and direct mail in effectiveness.

Telemarketing has received a lot of negative attention in the media. Most of

this criticism has been directed at organizations that call people indiscriminately. If done correctly, phonathons can be very effective for small colleges. As Howe notes, they "serve a useful purpose for schools and colleges where the constituency is clear and limited, where 'class agents' form a voluntary staff to do the phoning, and where the annual contribution routine is firmly entrenched. Phonathons have proven most effective when they follow directly on a written appeal."⁵¹

Personal solicitation. Personal solicitation is, without doubt, the most effective form of solicitation. In Yankelovich, Skelly, and White's study of American charitable behavior, they found that "the research [validated] the most effective fund-raising technique [as] one person asking another for a contribution, with this approach being especially effective among larger donors if the solicitor and contributor know each other well."⁵²

For annual fund gifts, personal solicitation is generally restricted to higher level donors. In most cases, prospective donors who are considered major by an institution should be solicited personally rather than by mail, telephone, or other more distant methods.

Fund-raising associations. Another technique for raising unrestricted funds is through cooperative fund-raising associations. In these associations, colleges join with other private institutions in a state or region to collectively raise money from corporations, foundations, and individuals. Of the CIC colleges responding to the FY 1990-91 survey, 79 percent indicated that they belonged to an association of colleges organized to raise funds. This is very close to the 78.9 percent responding affirmatively to this question in the FY 1983-84 survey of CIC institutions.⁵³ The cooperative fund-raising associations accounted for a varying percentage of the institutions' annual unrestricted giving. Data in Table 3-15 show that the re-

*Table 3-15: Unrestricted Funds Received Through an Association
by Enrollment Size (FTE)*

Enrollment	Yes	No	Percent
Up to 500	9	6	5.67
501-750	41	10	15.33
751-1,000	41	9	6.79
1,001-1,250	33	7	12.55
1,251-1,500	22	1	9.97
1,501-2,000	31	9	12.95
2,001 +	16	9	7.78
Survey Mean			10.99

sponding institutions reported an average of 10.99 percent of the annual unrestricted giving was raised through a fund-raising association. The percentage ranges from 5.67 to 15.33.

Acquiring funds for unrestricted support is an extremely critical element of any fund-raising operation in the small college. Careful planning and execution of these four strategies—mail solicitations, telethons, personal contact, and cooperative fund-raising associations—can play a big role in this important area of fund raising.

Winning strategy no. 6: Develop endowment-building programs

If unrestricted dollars are funds to live by, endowed dollars are funds to grow by. Endowment is those funds given to an institution that are invested and the income from which is used to support programs and scholarships. Sufficient institutional endowment funds ensure fiscal health and stability.

While endowment funds have always been important, they are gaining in significance as small colleges work to maintain balanced budgets in uncertain economic times. Donors are also becoming more aware of the importance of the endowment and more willing to give toward it. Often visible building projects are giving way to program and endowment support. Loessin, Duronio, and Barton's study of 10 highly effective fund-raising programs indicates a high correlation between voluntary gift support and levels of endowment. That is, institutions with high total gift support also have significant endowments.⁵⁵

The authors share the view of Pickett (1977) that "Endowment represents a measure not only of institutional wealth and effective financial management, but also of past success in fund raising."⁵⁶

*Table 3-16: Total Private Gifts Received for Endowment in FY 1990-91
by Enrollment Size (FTE)*

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 0	\$ 870,000	\$ 293,974
501-750	700	4,577,731	456,602
751-1,000	0	4,356,952	409,837
1,001-1,250	22,965	13,471,529	865,001
1,251-1,500	0	7,650,000	1,426,725
1,501-2,000	0	2,000,000	538,124
2,001 +	0	3,379,644	797,621
Survey Mean			\$ 641,022

Among the CIC colleges surveyed, fund raising for endowment is an important program. When asked, "Do you have an active plan to increase your endowment?" 85 percent of the responding institutions said they did. They also indicated that they raised a significant amount of support for endowment, from a low of no money raised to a high of \$13,471,529, as displayed in Table 3-16.

Endowment funds can be raised by a variety of methods. Many capital campaigns dedicate a portion of the goal to endowment. Often outright gifts are received for endowed scholarships, academic chairs, programs, and general endowment.

A common method of raising endowment funds is through deferred gifts—gifts "made with a present commitment to a donation that the recipient institution may receive only after a period of time, often many years."⁵⁵ A deferred gift has three characteristic features: It is deferred; it often comes from the donor's capital holdings rather than current income; and donors often gain benefits through receiving lifetime income as well as tax advantages.⁵⁶

Many of the surveyed institutions use deferred gift techniques, including bequests and wills, annuities, trusts, and other deferred instruments. Of the responding colleges, 87 percent actively solicit bequests and wills, 73 percent actively solicit annuities, and 77 percent actively solicit trusts.

One way to measure the success of a deferred gift program is through the amount received each year in matured deferred gifts. In FY 1990-91 the surveyed institutions received an average of \$233,834 in matured deferred gifts. Table 3-17 shows matured deferred gifts received in 1990-91 by enrollment size. The range is a low of no gifts received to a high of \$4,200,018.

Table 3-17: Total Funds Received Through Matured Deferred Gifts in 1990-91 by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	0	\$ 1,065,582	\$ 226,429
501-750	0	721,611	118,307
751-1,000	0	4,200,018	395,901
1,001-1,250	0	698,221	100,929
1,251-1,500	0	1,239,099	189,821
1,501-2,000	0	1,933,516	292,394
2,001 +	0	1,955,544	297,466
Survey Mean			\$ 233,834

Effective deferred gift programs require the following elements:

- preparation of a plan;

- qualification and researching of prospects;
- preparation of literature and letters;
- formation of a planned-giving committee;
- development of a planned-giving recognition society;
- establishment of planned-giving guidelines approved by the board; and
- preparation of sample instruments and documents.

Successful small colleges develop programs for endowment building. Endowment fund raising includes solicitation of outright gifts, deferred gifts, or a combination of both. To win in fund raising today, the college should focus on those efforts that will expand the institution's endowment and thereby further strengthen its fiscal health.

Winning strategy no. 7: Promote generous capital gifts

Every small, independent college has capital needs: computer equipment, an athletic facility, a science lab, an administration building... the list goes on. Each administrator could cite college capital needs totaling multimillions of dollars. Funding for capital needs typically does not come from the small college's annual budget, but through capital fund-raising efforts.

While gifts for capital needs are sometimes raised in an ongoing, systematic capital gifts program, institutions frequently put on intensive capital campaigns. Podesta describes such a campaign as "the systematic acquisition of extraordinary gifts for specific purposes through a connected series of organized operations."⁵⁷ Cooke flamboyantly describes it as "total war... a mobilization of your people and your resources, for disruption of every accustomed routine and way of life, for the reassignment of people to new and unwanted tasks—all on a crash basis."⁵⁸ O'Connell points up the excitement of campaigns: "They are almost always exciting. They provide a rallying point for the organization and in many ways lend an air of excitement to the whole operation."⁵⁹ Coll, however, wisely notes the seriousness of the decision to enter a capital campaign:

Choosing to conduct a capital campaign is perhaps the most important decision a campus administrator can make. The decision commits trustees, senior administrators, deans, faculty, and staff to thousands of hours of additional work. It exposes the institution's admitted weaknesses, and opens up for public scrutiny its self-proclaimed strengths. This is a decision that should be made only after an in-depth study of the institution and its situation, and only if everyone involved has a strong conviction of the value of the cause.⁶⁰

Howe, addressing board members, answers the question, "How does a small, independent college know whether it is ready for a capital campaign effort?" by outlining five elements that should be present:

- a clear analysis of the funding needs;
- a compelling case;
- a realistic judgment of the potential to raise such capital gifts;

- an objective evaluation of the readiness of the organization to mount such a large undertaking; and

- a comprehensive plan for proceeding.⁶¹

In spite of the complexities and uncertainties regarding mounting a major capital campaign, many of the surveyed institutions have either had a campaign (66 percent) and/or are considering one in the next three years (81 percent). These capital fund-raising and capital campaign efforts have yielded significant resources for the surveyed institutions. Table 3-18 lists the ranges and means for capital gift income received by the CIC colleges in FY 1990-91. Gift income ranges from \$7,666 to \$9,500,000, with an average of \$773,895.

*Table 3-18: Total Private Gifts Received for Capital in 1990-91
by Enrollment Size (FTE)*

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 8,442	\$ 1,800,000	\$ 536,584
501-750	55,416	9,500,000	1,044,529
751-1,000	7,666	2,021,258	465,232
1,001-1,250	24,675	3,022,171	809,970
1,251-1,500	30,000	3,000,000	749,040
1,501-2,000	27,000	3,171,901	904,495
2,001 +	13,925	4,458,705	804,455
Survey Mean			\$ 773,895

A considerable amount of organization and planning needs to go into a capital campaign. Edwards notes that before a major campaign's decisions are made, the institution needs to reaffirm the mission; set reasonable goals; prepare a feasibility study; evaluate the strengths of the staff, president, and board; and determine the relationship of the campaign to the total fund-raising program. Once the institution has made the decision to go ahead with the campaign, a realistic goal must be set, a credible and moving case statement written, and a campaign plan developed.⁶²

Alex Carroll outlines several rules for a successful campaign:

1. Make your case exciting.
2. Top-level volunteer leadership is everything—they should be recruited in person.
3. Advance planning is worth the effort.
4. Complete prospect selection, research, and evaluation in advance of solicitation. Don't get the cart before the horse.
5. Set your goals high, but make sure good research justifies them.

6. The best results come from the calls made earliest and vice versa.

7. Show appreciation.⁶⁴

Campaigns to raise capital gifts are exhausting, exhilarating, frustrating, and exciting. Above all, they are generally productive in extending an institution's fund-raising effectiveness. Small college administrators should carefully pursue the capital campaign as an important fund-raising strategy.

Winning strategy no. 8: Focus on highest potential prospects

Vilfredo Pareto, a gifted Italian mathematician, sociologist, and economist, discovered what has become axiomatic today, that 80 percent of the result comes from 20 percent of the effort.⁶⁵ Pareto's Law helps to guide and prioritize our fund-raising efforts. Because we know that 80 percent of the gifts come from 20 percent of the donors, it follows that 80 percent of the fund-raising efforts should be directed to this 20 percent of the donors.

This 80/20 rule highlights one of the most fundamental and important winning strategies for the small college administrator: Focus energies and attention on the highest potential projects and prospects that will bring the most gifts to the institution. As Dunlop says, "The future strength of your institution may depend on how well you understand the steps that lead to a major gift and what you and your college can do to encourage donors to advance along those steps."⁶⁶

Before we can properly cultivate and solicit these important major donors, we need to understand their motivation for giving. One commentator says, "Knowing the primary motivations behind charitable giving is fundamental to career success. Yet too few development executives spend time examining this critical phase.... A successful development officer is constantly examining why donors give, why they give to her or his institution, and what refinements can be made for better results."⁶⁷

Numerous studies of donor motivation have found these reasons, among others, for major donor gifts: values, acceptance, gratitude, altruism, honor, sense of belonging, recognition, guilt, status, ego satisfaction, self-interest, and return on investment.⁶⁸

The survey data for this study of CIC colleges found many of the same reasons for major donor giving. When asked, "What do you think is the main reason your institution receives gifts from major donors and alumni?" the responding institutions gave as the main reason a belief in, respect for, and commitment to the college's mission. They listed loyalty and an identification with the institution as the main reasons for gifts from alumni.

The cultivation and solicitation of major donors is an important process and needs to be cared for and tended to by all development officers. The preparation and planning of each step is essential. The process begins with donor research to help determine the gift capacity and inclination of a prospect. This includes the following information:

- an estimate of financial capability;
- a knowledge of possible contact persons and the prospect's network of relationships;
- some understanding of the prospect;

- demonstrated interest; and
- evaluation of the prospect's current relationship with the institution.⁶⁸

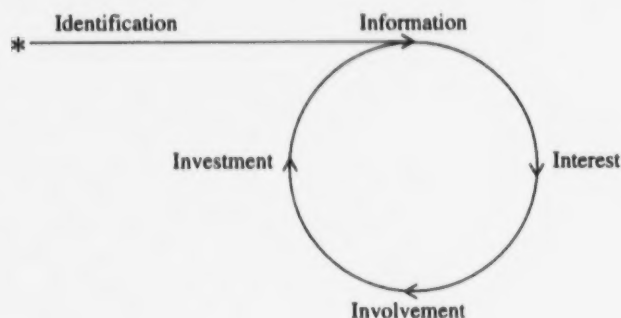
Armed with this information, a development officer or volunteer will be ready to begin the cultivation and solicitation process. Research conducted by Yankelovich, Skelly, and White, and commissioned by the Rockefeller Brothers Fund, confirms that the most effective fund-raising technique is personal solicitation, "one person asking another for a contribution."⁶⁹ Loessin and Duronio speculate that administrators in effective fund-raising operations "spend more time on interactions with people and other cultivation and solicitation activities" than those whose programs are less effective.⁷⁰

While the process of obtaining a major gift through one-on-one cultivation and solicitation is a fairly simple one, the implementation of the process is anything but simple. It requires persistence, hard work, time, and opportunity. Yet the joys are immeasurable. Dailey lists seven steps to a major gift:

1. Prospect identification.
2. Research and qualification.
3. Strategizing the approach.
4. Involving the prospect.
5. Making the ask.
6. Closing the solicitation.
7. After-solicitation follow-up.⁷¹

A useful concept and model for major gift solicitation is "Smith's Five I's of Fund Raising," commonly referred to as the cultivation cycle (Figure 3-2).⁷²

Figure 3-2: Smith's Five I's of Fund Raising



Reprinted with permission from Handbook of Institutional Advancement, 2d ed., ed. A. Westley Rowland (San Francisco: Jossey-Bass, 1986).

Smith says that to cultivate and solicit a major donor properly, you need to move from the identification of that donor to providing information about the institution, developing an interest and involving the prospect in institutional activities and governance, and, finally, asking for an investment.⁷³ The time from identification to investment will vary for each prospect; it can be as short as a few months or as long as several years. However long it takes, each step in the cycle is important in encouraging major donor gifts.

Involvement is a key element in cultivating and soliciting major donors. Most prospects want to be involved in the institution through service on an advisory or governance board, through teaching or lecturing, through assistance in the fund-raising process, or in other ways. Involvement helps to give a donor a sense of ownership in the institution. Panas quotes Leo Beranek, a major donor to the Boston Symphony:

It was very natural for me to be interested in our symphony. I was on the board for almost fifteen years and as a director, I felt encouraged to give a little bit more money. When I was asked to chair the resources committee, I felt I simply had to set a good example. I think that if I hadn't been as heavily involved, I wouldn't have done as much.⁷⁴

The place in the cultivation cycle that is often the most difficult—asking for the gift—is the most important. Usually people don't give if they haven't been asked. Panas reports:

A careful review of those who have given a million dollars in the past four years indicates that the gift was made only after being directly asked to do so. This may be thought as being unduly basic, for one of the fundamental verities is that you must ask. It is one of the glaring truths of fund raising that a cause will be hurt more by those who would have said yes but were not asked, than by those who say no.⁷⁵

Having the right person do the asking for major gifts is a key to fund-raising effectiveness. Research validates that one-on-one solicitation "is especially effective among larger donors if the solicitor and contributor know each other well."⁷⁶ For the surveyed colleges, the appropriate solicitor might be a trustee, the president, a staff member, a volunteer, or someone else with stature and the appropriate relationship. Table 3-19 displays the percentage of \$1,000+ donors and prospects who were solicited face to face by each group. Among the surveyed colleges

Table 3-19: Solicitors of \$1,000+ Face-to-Face Donations (Percent)

Solicitor	Percent
Staff	46.4
President	32.0
Trustees	10.7
Volunteers	9.6
Other	1.3
Total	100.0

and universities, the \$1,000+ donors were most often personally solicited by staff (46.4 percent), followed by the president (32 percent).

Seeking gifts from major donors is an important and vital part of the small college's fund-raising effort. It can bring great joy to the solicitor and donor alike—and great rewards to the institution.

Winning strategy no. 9: Thank donors consistently and in a timely manner

One of the goals of fund raising is to build lasting, long-term relationships between the institution and the donors. Donor acknowledgment—thanking donors frequently and in a timely manner—is an important ingredient in building these relationships.

Donor acknowledgment is one of the keys to fund-raising success at the small college. Carroll lists as one of his 16 rules for a successful capital campaign the need to show appreciation.⁷⁷ Robert A. Seiple, president of World Vision, an international relief agency, describes as one of the three basic principles of raising funds "our ability to say thank you.... This is basic fund raising, but one of the areas where we have the most difficulty, make the most blunders, shoot ourselves in the foot: the inability to properly thank someone for the gift just given."⁷⁸

Panas, in his classic study of major donors, highlights donor appreciation as one of the major tenets for fund-raising success. He encourages fund raisers to practice the rule of sevens—thank a donor seven times before asking for a further gift.⁷⁹ In a case study, he describes how this rule works in practice:

There was a letter from the president. A letter from the chairman of the board. A handwritten note from the vice president. And a letter from the treasurer with the official receipt. Several months later, a note from a student who had received some scholarship assistance. A letter from the head of the department whose discipline had been particularly affected by the special campaign. A very brief personal note attached to the announcement of the ground breaking ceremony, reminding the donor of how important their gift had been in making this day possible.⁸⁰

Whether a donor is thanked seven times or is given some special recognition, the principle remains the same: Personally acknowledging gifts in a timely manner will result in long-term relationships with donors and ultimately will yield future gifts for the institution.

The amount of time between the receipt of a gift and the written acknowledgment often distinguishes an effective donor acknowledgment program from one that doesn't work. Table 3-20 shows the average number of days that it took the CIC colleges to acknowledge a gift. More than half the institutions (60.5 percent) acknowledge the gift within three days, and 29.6 percent acknowledge it within four to seven working days. Only 7.4 percent of institutions acknowledge the gift the same day. From this data, it appears that the surveyed institutions need

to continue to work on developing a timely gift acknowledgment process. How this is defined varies from institution to institution. Generally, an institution should try to acknowledge a gift within 24 to 48 hours from its receipt.

Table 3-20: Average Turnaround Time for Acknowledging a Gift

Category	Percent
Within 3 working days	60.5
4-7 working days	29.6
Same day	7.4
More than 8 working days	2.5
Total	100.0

The questionnaire data did not ask who acknowledged the gift and by what means. Generally, the higher the amount of the gift, the higher the level of the responding administrator. Figure 3-3 displays a sample acknowledgment chart that can simplify the procedure for thanking donors.

Figure 3-3: Sample Donor Acknowledgment Chart

Category	<\$500	\$500—\$1,000	>\$1,000
Individual	letter— dev. staff	letter—president	call—president letter—president letter—v. p.
Foundation	letter— dev. staff	letter—president	call—president letter—president letter—v. p.
Corporation	letter— dev. staff	letter—president	call—president letter—president letter—v. p.
Planned Gift			call—president call—dir. of planned giving letter—president letter—v. p. & dir. of planned

There are many ways to thank donors; the variations are as numerous as the different personalities of the donors. But whichever method you use, remember that being sincere and personalizing the thanks are the hallmarks of a successful acknowledgment program. Some of the possible methods are listed below:

- personalized letter or telephone call;

- published donor lists;
- personalized gifts that reflect the institution (e.g., books and artwork by faculty);
- special events for specific groups of major donors (e.g., special concert, play, art gallery opening);
- inviting donors to participate in the institution through advisory boards, classroom lectures, and in other ways;
- sending invitations to events (e.g., graduation, concerts, plays, athletic contests);
- naming buildings, rooms, scholarships, endowed chairs, and programs in donors' honor;
- sending clippings of items of interest with a personalized note;
- giving plaques, paperweights, artwork, and other items that a donor can display in his or her home or office;
- asking faculty members, students, or other beneficiaries of the gifts to send thank-you notes.

A story is told of the development officer who was asked, "How do you account for the excellent giving to your institution?" She answered, "I get prospects to make the first gift, and I keep thanking them until they give again." That is one of the keys to fund raising—encouraging people to make an initial investment and then, through thanking them, encouraging them to make additional and higher investments in the institution.

Winning strategy no. 10: Use consultants wisely (do not be afraid to ask for help)⁸¹

The decision to hire a consultant is not lightly made on the independent college campus. While small college trustees understand the importance of hiring outside personnel to design buildings and to audit budgets, they often do not understand the need to spend money for fund-raising consultation. One frequently heard comment is, "That's why we hired good development officers. We assumed they were the experts and we would not need other outside assistance."⁸²

The decision to hire a consultant, if made wisely, can contribute greatly to fund-raising effectiveness. A consultant can bring objectivity, perspective, experience, and knowledge to the consulting task. Whittier notes:

The good consultant uses analytical skills and insight gained through experience. He or she helps those involved with a campaign debate the issues and plan the most effective tactics and strategy. The consultant suggests issues that might otherwise be overlooked and advises about all aspects of the design and execution of the campaign. A consultant also provides an outside point of view, one that is unbiased and unemotional.⁸³

The use of fund-raising consultants in small, independent colleges is a fairly common phenomenon. Of the surveyed CIC colleges, 62.5 percent indicated they used consultants in fund raising. This was similar to the 60 percent of responding

institutions using fund-raising consultants in a study published in 1990 by the Christian College Coalition.⁸⁴ The chief development officers in the Coalition study felt that outside counsel played a critical role in planning and accountability and helped to mobilize the fund-raising team and board of trustees.⁸⁵

Consultants can assist the institution with a variety of capital campaign or other tasks. They can evaluate and audit fund-raising programs and staff; perform feasibility studies for campaigns; teach, educate, and coach the fund-raising team; organize a campaign; stimulate volunteers and staff; and encourage and guide institutional and fund-raising planning. The late Si Seymour stated that "the most important function of consultation is not to play the wizard, but simply to provide at stated intervals the perspective that is possible only with triangulation. Perspective in turn leads to confidence, and confidence is the one biggest thing in the whole fund-raising process—always worth taking plenty of pains to find."⁸⁶

Professional fund-raising consultants do not come cheap. Their daily fees often exceed the monthly salaries of some of the institution's development officers. However, there are lower-cost alternatives such as the following:

- Exchange or hire working development officers from sister institutions.
- Secure names of successful professionals from the Council for Advancement and Support of Education and other professional groups.
- Ask fellow development officers for insight and perspective regarding problems and issues.
- Seek advice at professional meetings of the Council for Advancement and Support of Education, the National Society of Fund Raising Executives, and other professional organizations.

Selecting the right consultant is of vital importance. The selection should be made carefully and with a view toward institutional fit. Further, the consultant should be selected on the basis of the expertise that he or she brings to the assignment. The institution should first determine in which areas the consultant will work and then seek a consultant with that particular expertise. Snelling advises:

In selecting a consultant, consider the type of firm, the individual with whom you will work, the legal stipulations of the contract, and your expectations. Consulting firms range from single individuals operating from their homes to large firms with staff of over one hundred. Different firms have different philosophies and specializations. These differences will affect your working relationship with the firm and might even have an effect on the advice you will receive.⁸⁷

Howe suggests three key matters to consider in selecting fund-raising counsel: "Be clear on the consulting job to be done. Be sure who is going to do the job. Check references."⁸⁸

In selecting a fund-raising firm, Schwartz counsels that "an institution should consider three or four counseling firms. Discussing programs and plans with them helps bring into focus both the needs and the feasibility of the program. These interviews will in no way obligate a potential client. This is a personal business, and there are many reasons one might prefer one company over another."⁸⁹

Consultants can be very effective in determining a winning strategy for small college fund-raising success. Whittier notes, "Consultants are no smarter than institutional leadership. However, the better ones are skilled at analysis and at isolation and identification of issues, and their wisdom is based on experience as well as an unbiased perspective. They are not infallible. If they appear to walk on water, it is only because they know where some of the rocks are."³

In conclusion

There you have it. Ten winning strategies for fund-raising success based on the experience of professionals, on the survey of Council of Independent Colleges institutions, and on my personal experience. No doubt there are other winning and effective strategies. However, these 10, when properly applied, form the framework for an effective small college fund-raising program.

Winning strategies can only be effective with action. A winning strategy, if only a theory, will not help to raise money. The strategy must be implemented—put into practice. Joe Gibbs and the Washington Redskins would not have defeated the Buffalo Bills in Super Bowl XXVI if they had not applied their strategy. The U.S. would not have placed a man on the moon if it had not applied its strategy. And, similarly, small independent institutions will not be successful if they do not apply some or all of these strategies to their fund-raising efforts.

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G. Blair Dowden serves as president of Huntington College in Huntington, Indiana, where he has been actively involved in fund raising and friend raising. Prior to his service at Huntington College, he spent seven years as vice president for development at Houghton College in Houghton, New York, where he directed a successful \$13.5 million capital campaign.

He has also served in several administrative positions at Taylor University in Upland, Indiana, including special assistant to the president. He has authored

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He serves on several boards in the fund-raising area, including the National Advisory Board for the Christian College Coalition Lilly Fund-Raising Project, Christian Stewardship Association, and the Independent Colleges of Indiana Foundation.

A consultant and conference speaker on fund raising and higher education issues, Dowden holds a B.A. from Wheaton College (Illinois) and an M.A. and Ed.D. from Ball State University.

The Advancement Roles of Small College Presidents

Daniel A. Felicetti

If you were to ask small college presidents what they do to advance their institutions, their answers might not differ greatly from those of heads of large state and private universities: All presidents must be effective public speakers who can represent institutional purposes well and persuade alumni and others to channel their resources to campus. But this response would be both incomplete and misleading.

Although advancement goals are bound to be increasingly significant to every president engaged in higher education, there are fundamental distinctions between the expectations facing leaders of large universities and those confronting small college CEOs. Neither group necessarily has a steeper hill to climb, but their obstacles and their paths to success are prone to be significantly different.

Most small colleges are independent of public control and exist with little or no direct state government support. Consequently, they neither suffer the vicissitudes of gubernatorial and legislative politics, nor do they benefit from significant tuition and advancement operations subsidies. Usually the small college must scramble exceptionally hard to win support from a relatively limited pool of constituents who believe in its unique values-based mission. There is growing recognition among small college presidents that, especially in recent years, major private donor bases which were, not long ago, largely independent sector "territory" have been extensively invaded by sprawling, state-supported systems with mega-sized development and admissions staffs.

The challenge to the leaders of smaller, often weakly endowed, colleges is that their ultimate task, to maintain institutional survival and improve their product in unpredictable marketplaces, can be intimidating. For them, to a much greater degree than for the leadership of most larger universities, the question may not be more or less budgetary flexibility in any given year, but how to cope with the knowledge that there is no safety net looming beneath fragile finances. Not surprisingly, Cheshire writes, "In the small private institution the president lives

very close to the advancement function, or fails to do so at [his or her] peril."¹ Not an easy position for the faint-hearted.

How should the presidents of small colleges proceed in order to meet this challenge? The answer offered here is that they should not attempt to discover a single advancement role, but, instead, ought to consider assuming at least eight distinctive, yet interrelated roles in order to be as clear as possible about what goes into promoting their institutions effectively. Although no one blueprint will apply to all small colleges, this chapter suggests a set of prototypical roles, developed from the existing literature and personal experiences, which can contribute to a president's success in advancing the small college.

President as work-study student

In comes the new president, hailed by all or most members of the search committee, trustees, and innumerable campus community well-wishers as the next great hope for bringing their insufficiently acknowledged college to a place of regional or national distinction. Confidence in the professional capacities and vision of the new chief executive officer abounds.

As he or she performs before appreciative audiences during a first, upbeat month in office, imagine the new president who suddenly observes a freshman work-study student down the hall, struggling to come to grips with the complexities of an unfamiliar office environment. This undergraduate, whose job is to be a learner of the ropes, becomes, momentarily and secretly, the subject of presidential envy.

Whereas the student and the president may share similar feelings of uncertainty about fitting into their respective jobs, the undergraduate's bumbling is easily tolerated and may even be the subject of affectionate humor. The president, on the other hand, is expected to be the intrepid leader of the institution—dignity and courage personified—whether or not he or she has acquired adequate advancement training, or any advancement training at all. Fisher captures such a hypothetical moment:

You are a newly appointed college president. You are pleased, even excited, but also a bit confused and uncertain.... After all, at least *some* things that you are presumed to know are all but completely foreign to you. Yet no one asks whether you might need a little time to learn *anything*. Rather, from the first day, you are expected to be off and running—a combination of Abraham Lincoln, Mother Teresa, Nicholas Biddle, and Father Hesburgh....²

Feelings of insecurity mount, as Rabbino notes, "The period of learning, the moratorium, if there ever is one, will not last.... Everyone is waiting for the dawning of the new day and everyone is waiting for wondrous words and dynamic deeds."³

And yet the advancement role of president as "work-study student" is a legitimate one, not only at the very outset of a small college presidency, but continuing throughout the president's stay in office. After all, just as our best

educators remain lifelong learners, it should be no cause for embarrassment that the heads of small colleges are in perpetual need of on-the-job training when much of their advancement work must be done without the insulation of a large university staff.

Since most small colleges have a strong liberal arts tradition, the presidents who are elected to serve often share a similar background. A great many of these doctorally prepared leaders have spent most of their careers in classrooms and various academic administration posts. It is true that the job has changed significantly from the days described by Sontz: "The president of the small colonial college was generally a theologian, a practicing minister, and an integral member of the faculty as well."¹ Nevertheless, the most traditional administrative career path still runs through an academic department, an academic deanship, and, not infrequently, an academic vice presidency or provost position.

When the members of the Council of Independent Colleges were asked in the FY 1990-91 survey, "What position did your current president hold immediately prior to becoming president?" only 12 percent of the respondents indicated development or advancement. Although replies varied, of those who had not been either executive vice presidents or presidents elsewhere, many more had held academic positions than had emerged from advancement posts: 40 percent had been academic administrators and 5 percent had been faculty members. About 25 percent held other administrative posts, and 14 percent occupied positions outside higher education. Approximately 2 percent came out of student development backgrounds.

In fact, those who lead small colleges are very often rookies when it comes to enrollment management, public relations, and fund-raising. Former CIC President Gary Quehl notes, "Training in academe simply bears no relationship at all to the college or university presidency today.... That's one of the bitter ironies. A person who has to go out and position the institution has a great deal to learn since many things are foreign to him or her."²

When asked how their presidents acquired fund-raising skills, the CIC respondents ranked sources of assistance as follows: (1) trial and error; (2) prior experience in education; (3) attending conferences; (4) a mentor; (5) prior nonprofit experience; and (6) other. This ranking hardly reflects a specific, replicable skill-enhancing curriculum. Imagine if such a nebulous set of preparations was claimed as adequate by someone applying to teach Introductory Chemistry!

The challenge of the advancement task for the president who is not home-grown is compounded by the reality that, even if he or she has acquired some technical expertise in this field, higher education institutions vary so greatly that they "are as different as snowflakes...."³ Even among small colleges that may seem alike, this "snowflake" phenomenon is apparent. Beyond fundamental differences in mission from campus to campus are so many other variables, including critical distinctions in "...the economic capability of the alumni body...[that] any attempt to codify or devise precise formulas for success is bound to elicit charges of false assumptions, questionable statistics, improper weightings, and inclusion of irrelevant factors."⁴

What the president soon finds is that the work-study function of an advancement leader is much more complex—and more laborious—than most constituents imagine. In citing results from a 1989 survey of 75 Christian College Coalition

presidents, Dowden reports that these presidents "spend an average of 44 percent of their time in fund-raising, advancement and public relations functions, in contrast to 21 percent on academic affairs, 21 percent on financial affairs and 14 percent on student development."⁸ In a similar study, Adams hypothesizes that "the president of a private institution spends 40 to 50 percent of his or her time on external affairs."⁹

The CIC survey data also support these findings. Respondents reported that an average of 43 percent of annual presidential work time was allocated to "fund raising/advancement/PR," compared to 24 percent for financial affairs, 20 percent for academic affairs, and 13 percent for student development. The time reported for fund raising/advancement/PR might have been even higher if admissions/recruitment and alumni relations had been specifically included in this category. For example, when all subtopics are explicitly included, the actual breakdown of presidential time spent on advancement is as follows: fund raising (40 percent); public relations (22 percent); alumni affairs (14 percent); admissions/recruitment (12 percent); other (12 percent). By any measure, advancement tasks take close to half of a president's time.

The absence of guidelines about how fast to move into various advancement functions can also be perplexing for the new president. In some cases, speed is needed. Wayne Anderson, who was initiated into the presidency of the once beleaguered Maryville College, writes colorfully about his eventually successful efforts to meet payroll: "We're taking people's breath away with the way we ask for gifts.... I feel as though I'm running a non-stop hundred-yard dash. It never ends, and I don't get ahead of anybody, either."¹⁰ Anderson was one president who had no choice but to rush.

In other cases, deliberativeness may be in order. Bensimon advises, "Most colleges and universities are not in need of, nor are they likely to respond well to, dramatic turnaround tactics. Inexperienced presidents believe that the campus is waiting for them to take charge and act boldly.... Experienced presidents... make changes, but more slowly.... Long-lasting changes tend to be evolutionary, not revolutionary."¹¹

Turning to the nuts and bolts of a comprehensive development effort, Evans expects presidents to learn that an "effective ... program should include annual giving, corporate and foundation support, donor research, major gifts, records and stewardship." He also strongly recommends a priority that may not immediately occur to a new president: "For institutions with older potential donors among their alumni and friends, a planned giving program for bequests and trust commitments is important."¹² All in all, the list of "fundamentals" to be absorbed is not short and simple.

Among the multiple components of advancement tasks, none is likely to project a more visible sign of presidential preparedness than the capital campaign. No standard snowflakes here either. Bornstein cautions, "But beware: Such a campaign should not be launched until both the president and vice president are as ready as the institution for the rigors and hazards of the undertaking."¹³

If it's beginning to seem that this job has too many variables, don't despair. In addition to assistance from staff members and volunteers, there will be many seminars and workshops that can help. Other sources of advice include reading the growing literature and selectively networking with presidential peers as well

as other professionals through such organizations as the Council for Advancement and Support of Education (CASE), the American Council on Education (ACE), the Association of Governing Boards (AGB), etc.¹⁴

At some point, bringing in consultants may prove financially beneficial. Fisher explains, "Presidents also need to know the role and value of external consultants.... [They should] find out for whom the candidate firm has worked, and then phone fellow presidents. Unless other presidents view you as a direct competitor, they will almost always be candid."¹⁵

Some well-regarded writers advise new presidents to hire outside counsel almost immediately upon taking office. An alternative course is to wait until the president has had time to comprehend institutional realities; it is only when a campus leader really knows how things are being done that it becomes possible to identify those areas that would benefit most from an external perspective.

The joys and miseries of the chief executive in advancement, like the job of the student working down the hall, will be what he or she makes of them. Other folks may certainly help, but in the final analysis, it is that inner presidential voice that needs to resonate with Paul Hardin when he describes the pleasures of serving mission; seeing this work as culturally endorsed philanthropy; enjoying contact with people; competing for supporters; being able to express gratitude; turning grants into tangible accomplishments that satisfy donors; and discovering fine professional colleagues along the way.¹⁶ At least one other pleasure that might be included on such a list: The multifaceted view of the college that the president will gain from his or her many external contacts.

Embracing the role of active learner will enhance the president's efforts to deal with the many other advancement responsibilities he or she must assume. This orientation clearly applies to the new president who arrives on the scene of a small college setting where professional intimacy is anticipated. It also remains relevant to the CEO who has headed an independent college for 7.64 years or has held higher education presidencies for 9.48 years (the average periods of time in office identified by the CIC survey respondents). Indeed, the most seasoned presidents simply cannot afford to be oblivious to their ongoing work-study obligations.

President as investment baker with limited dough

In a small, often economically fragile college, an attempt to determine how many dollars to invest for various advancement projects is no easy task—even for the most astute veteran president. As reported in Chapter 2 of this book, the mean of advancement expenditures ranges from 6 to 11 percent of the E&G (Educational & General) Budget. Another researcher cautions, "No ideal percentage has been established for institutional advancement funding...."¹⁷ In a parallel vein, yet another analyst, referencing "a rigorous four-year study of 51 American colleges and universities, ...warns against a simplistic interpretation of the results."¹⁸

Amidst uncertainties about how much money should be spent on advancement, most presidents recognize that the consequences of investing poorly can be devastating. Hamlin observes that "between 1975 and 1984, a total of ninety-three private American colleges had closed, merged or shifted to public con-

trol...."¹⁹ By the end of the eighties, Henry expressed concern for "those in smaller, private institutions where the financial pressures will be greatest. Budgetary cutbacks or even freezes on resources create a situation full of agony for the administrator...."²⁰ Slinker notes that colleges with enrollments below 5,000 students begin with significantly lower budgets for fund raising, public relations, alumni relations, etc., than those with greater numbers of students.²¹ (Chapter 2 of this book also validates this point.) It does not seem to matter that these smaller competitors have the same functions to perform and probably are in even greater need of investing in advancement activities.

A serious problem for the president is that any habitual, reflexive penny-pinching can be frustrating. In speculative revenue-raising areas like advancement, it is very difficult, even for a strong president, to decide to authorize bold new spending patterns for programs where paybacks are uncertain—especially when the chief financial officer (CFO) has been working with the CEO and trustees to keep expenditures in balance with revenues. Red is not a pretty color when it appears on financial statements and threatens the borrowing capacity and reputation of the under-endowed college. As a result, "There are always problems of budgeting in colleges and particularly in most small colleges where resources are always thin and flexibility limited."²²

What is a president to do when pulled by the urge to conserve discretionary dollars while, at the same time, he or she is pushed to meet the unrelenting needs of internal campus constituents? How does the CEO go about making a breakthrough beyond fiscal limitations of the status quo in order to bake a better product? While the answer may well depend on how close to Current Fund black ink the college is likely to remain during each fiscal year, little fundamental progress will ever be made in buoying long-term institutional financial health without tipping as far toward the investing end of the decisional spectrum as possible. Frequently that means feeding the advancement budget while forcing economies elsewhere. There are no easy answers, but as Fisher and Tack conclude, "Effective college presidents...are willing to take prudent or calculated risks again and again in order to keep the momentum going."²³

The literature on advancement is full of suggestions on making intelligent investments. Some standard, practical, revenue-enhancing ideas include:

- Take a hard look at the adequacy of the admissions budget, and remember that the lion's share of revenues comes from tuition. It may be necessary to expand geographical outreach and to revamp the structure of the scholarship program.
- Convert admissions efforts into a comprehensive enrollment management program that incorporates retention planning as well as aggressive outreach to prospective transfer and nontraditional students.
- Hire a full complement of advancement and admissions people at or above market wages and attempt to retain the most productive workers available.
- Upgrade the quality of publications and the scope of media contacts.
- Computerize record giving in increasingly sophisticated ways and develop an effective phonathon for annual giving.
- Do a consultant-led feasibility study in preparation for a capital campaign.
- Concentrate presidential efforts on major donor cultivation and solicitations. Broaden the base of contacts with foundations and corporations.

- Expand your network for attracting deferred gifts by putting a paid staff person in charge.
- Establish a broad-based, enthusiastic volunteer structure and be sure it is well supervised.
- And, by the way, do not bankrupt your small college by trying to "do it all at once."

It is important to remember what your CEO knows and what many advancement advisers are prone to forget: no free lunch. Whenever project proponents make the case to spend over budget, they may need to be reminded that Current Fund balances and creative short-term investment opportunities are codependent variables. For every dime spent on promoting the college, a president ought to keep at least one sharp eye on the fiscal year-end bottom line. Furthermore, "There should be a solid explanation of how added investment in development will yield desirable returns for the institution."²¹

How do you monitor and evaluate a program? "Very easily: dollars raised versus dollars spent."²² Or, as Dowden puts it, "A dollar spent in development can be a wise investment if accompanied by specific fund-raising goals and accountability for them. An effective college president sees to it that these two areas are tightly linked."²³

In weighing investment options, consider this revealing insight from Hamlin's study, reported in 1990, of small liberal arts colleges and universities (LACs from 500-2,000 and founded at least 75 years ago). In his examination of 126 "private college presidents,... fifty-one of whom had successfully overcome a severe institutional hardship during the 1975-1985 decade, ... the most widely used tools [for recovery] were revenue enhancers." Of the 10 most useful tools, only one (energy conservation programs) was designed to cut expenses, and it was ranked seventh. Among the top three were: "expanded recruiting effort; fundraising efforts of the president; obtaining gifts/grants from benefactors." Close behind were: "public awareness efforts of the president; increasing tuition and fees; increasing scholarship funding."²⁴

Like well-conceived admissions efforts, fund-raising activities must be very carefully thought out. As with most businesses, it takes some serious investment dollars to build the foundation for a better financial life for the small college. No formulas will guarantee success, but thoughtful analyses and excellent chemistry among the president, CEO, and chief advancement officer (CAO) should help.

President as analytical artist

One observer notes that the "lack of adequate data can be [the president's] biggest problem."²⁵ Yes, the president of a small college will receive periodic admissions, fund-raising, and other financial status reports. Yes, some key data will flow at semi-predictable intervals from the registrar, enrollment manager, CAO, and, if the college has one, the office of institutional research. Yes, unanticipated glimpses at internal and comparative numbers crunched from a seemingly unearthly plethora of sources will appear on the CEO's desk as if designed by cosmic computers infected by a malevolent virus.

Will these data fit together, allowing the CEO to say, "Aha, so that's what we

need to do next? No, generally not. Because potential "results" and conclusions are likely to be underdeveloped and contradictory (frequently springing from definitional variances), do not be surprised if the oft-repeated words "apples and oranges" become hard to digest.

The difficulty many understaffed small college presidents discover in attempting to make cost-effective advancement decisions is often compounded by their lack of technical training—and their belief that being immersed in such detail is not the best use of their time. The thin line between striving for mathematical precision in gauging institutional advancement outcomes and remaining sanely above micro-analysis will often be blurred and shifting. Perhaps the realistic model for a small college president is that of the technically informed artist who tempers his or her own biases with sufficient feedback. After all, as Hobbs points out, "Institutional advancement...like all of higher education, is rooted in the imprecise social sciences, not in the... exact... sciences...."²⁰

Is it possible for the CEO to determine which advancement decisions will always demand the heaviest analytical intervention? No, certainly not universally. Remember the snowflake metaphor; a small college may be floating along beautifully as far as image-building and admissions go, but, depending on which way institutional winds may be blowing, its fund-raising potential could require more than the usual amount of presidential gust.

If all advancement areas appear to be in about equal need of evaluation, the president might best begin with admissions, paying special attention to the viewbook and video as well as assessing alternative market niches. Toward these ends, the CEO should be prepared to elicit suggestions from principals of key feeder schools and superintendents of local systems as well as active alumni.

In fund raising, Kinnison observes, "Ninety percent of the money donated to higher education comes from 10 percent of the donors (in some cases, 95 percent of the money is contributed by five percent or less of the donors). Potential contributors of this magnitude must be found, cultivated and approached properly."²¹ When an institution is identifying major donor sources (including foundations) for presidential cultivation, Fazio and Fazio recommend that the chief executive ought to "plan to attend the meetings at which top prospects are screened and evaluated."²²

As in managing most advancement operations, reliance on research alone will prove inadequate, Dunlop observes, "Financial capacity is relatively easy to recognize.... It is harder to determine the second criterion for selecting major gift prospects: a charitable nature."²³ This is often an intuitive deciphering function that is left to the president in subsequent private and social interactions with individuals. The president may well learn to sense the difference between "maybe yes" and "maybe no" by how the eyebrows of the prospect are raised and lowered during conversational twists that occur just as the waiter arrives with a cheerful dessert cart interruption. But real knowledge of donor intentions depends on more than observing body language. Over time, the president will acquire "donor-friends" by sharing in the life experiences of these fellow beings. In the process, the president will gain the sort of information that can't be found even in the staff's most thorough calculations.

To gain a handle on the data, the small college president needs to learn the immediate advancement territory well enough to determine whose job it is to

manage various analytical processes. Sometimes the president will stumble on the right person only when wrestling with an unanticipated problem. But most often, he or she will gain this sort of knowledge while working through long-term planning processes.

President as planner in a world of Fortuna

To plan or not to plan. That is *not* the question. As Willmer notes, "Without a long-range plan, the process of institutional advancement will be ineffective, disjointed, and lacking in consistent direction."⁴¹ Similarly, Murphy observes that the small college president's "leadership role will require that [he or she] set in motion a dynamic planning process that identifies changes in priorities over time."⁴² The primary question is: How heavily should the CEO rely on mission statement and formal planning documents for mapping out and reaching advancement objectives?

An institutionally defining document provides direction for preparing the case statement that undergirds all external relations efforts. The goals and objectives portion of a formal written plan also becomes a confidence-building vehicle for deciding in writing who is going to do what, by which date—thereby providing a basis for budgeting and staff accountability that later may be subjected to overview by the president. Usually (but not always) the more specific such plans can be, the more useful the document.

Unlike academic performance measures that mix in a vast array of highly subjective teaching, research, and community service indicators, outcomes assessments of advancement performance appear to be much easier to propose and tally quantitatively. Obviously, there are tough judgment calls to be made in determining how much resource development is "enough" and in appraising some intangible, stylistic aspects of what constitutes advancement success. Nevertheless, the difficulty of translating admissions, public relations, and fundraising planning prescriptions into measurable results seems to be considerably less problematic than attempting to weigh promotion and tenure criteria for unevenly gifted faculty members in the humanities, social sciences, sciences, and professional fields.

Important as it is, are there limitations on the usefulness of small college planning? While large universities must have the directional glue that planning provides, the same may not be quite as true of smaller, less fragmented, campus communities that lack a complex bureaucracy. In fact, considering the number of hours that some elaborate forms of planning take, the small college president may well ask if or when the benefits are worth the costs.

Consider these downside reasons for avoiding obsessive, overly complicated planning efforts:

- A disproportionate emphasis on forward focus may lead to underestimating those chickens, conceived in prior administrations, which may yet come home to roost.
- Excessive fidelity to process-laden, time-bound paper expectations may absorb institutional energies that could be better spent spontaneously exploiting natural fleet-of-foot advantages over larger competitors.

- The planning process may build in an illusory sense of complacency for an economically tenuous college, especially during times of rapid and unpredictable marketplace changes.

Finally, there is Machiavelli's concept of the sheer power of Fortuna, the mother luck of governance opportunities who may happen to beam her happy rays on some small colleges despite sloppy management, while others, engaged furiously in planning, could find themselves experiencing less benevolence than the law of averages would dictate. Beyond "pure chance" as a factor in development, researchers suggest:

The fact that more complex institutions raise higher amounts [of money] does not necessarily mean that they are better fund raisers. It's well known that some types of institutions have greater potential for raising money than others.... We find powerful evidence to support the conventional wisdom that a strong relationship exists between institutional wealth and fund-raising success.¹⁵

Whatever the "real odds" of reaching goals through formal planning, the process needs to be constrained by realistic expectations of what is possible. In advancement, as environmental realities fluctuate, what appears to make the greatest sense is shorter-term, flexible planning, i.e., for three to five years ahead, with at least annual opportunities to make changes. In a recent study, Hurtubise and Bishop report, "The successful presidents have written fund-raising dollar goals for at least 12 months and up to five years."¹⁶ In this same vein Hobbs observes, "In our complex world, plans seem doomed to go awry, and the longer-range the plan, the more certain its failure."¹⁷

Like management information research, planning, especially on small college campuses, can be most useful in the hands of a presidential artist who knows to rely on it neither too little nor too much.

President as manager without bureaucracy

Perhaps nowhere is the nature of the role of the small college president more acutely distinguishable from that of a large university counterpart than in the oversight of advancement operations. The macro-managerial perspectives needed by multi-school, multi-campus university chancellors, whose advancement staffs number in the triple digits, are simply not applicable to lesser-sized operations.

For the small college president, it is not enough to be a high-profile campus and community "leader," standing dispassionately above the ongoing struggles of enrollment management and advancement; this will not get the job done—or get it done well enough. Working with relatively miniscule staffs requires personal presidential involvement at a very different level. Henry puts it well when writing about disparate "cultural expectations":

On a large campus, standard operating procedures are necessary to assure equality of treatment, to handle a large volume of transactions,

and to save on executive time. The president of a large university is usually "protected" by a phalanx of secretaries and assistants and consequently finds it difficult or impossible to project a personalist image.

The president of a small college, on the other hand, has more face-to-face involvement with campus people and thus is in a better position to stamp his or her character on administrative decisions. The trade-off, of course, is that an ineffective, unfair, or weak president in a small college setting cannot hide behind a bureaucratic front line.⁴⁸

The point is not that there are no similarities in managerial expectations of CEOs who are attempting to advance different sized institutions, but that we cannot assume functional convergence. Steven Beering's president-as-orchestra-conductor metaphor at Purdue University would not resonate in quite the same manner if expounded by the president of Marian College to his pint-sized advancement staff down the road in Indianapolis.⁴⁹

One of the first decisions a small college president will make is whether to retain an inherited chief advancement officer or to search for a new one. As Dowden observes, "Presidents frequently find it difficult to recruit development officers who will fit within their institutions. Scarcity of quality, experienced personnel has heightened the competition for educational fund-raisers."⁵⁰ The problem is compounded when "development professionals may change jobs every two or three years."⁵¹

Fisher gives new presidents reason to pause when he suggests, "Some have speculated that as many as half of the fund-raising vice presidents in place today are mistakes. While this is undoubtedly an overstatement, it dramatizes the point that if you aren't exceedingly careful in choosing your chief fund raiser, you could rue your decision."⁵² As difficult as the effort to find the right advancement officer may prove to be, and as tempting as it can become to take hiring shortcuts under pressures of time, presidents are likely to do better when they choose to look long and offer top dollar while working with an interim manager.

Once the best possible candidate is on board, the CEO needs to decide how much management authority to delegate to the CAO. Francis warns against either presidential apathy or excessive interference in the fund-raising sphere:

Because of the nature of the job, a college president can be easily influenced to move towards one of two extremes when it comes to fund-raising: either to do very little, avoiding fund-raising at all costs (and this cost is so high that few institutions can get away with it); or to try to do everything personally and not delegate responsibility to the staff.⁵³

Within a small college context, the hard driving president who has learned the local advancement terrain, will probably feel tempted to micro-manage. Some presidential intervention would appear less likely to disturb the rhythm of insti-

tutional operations in this key income-generating area of campus governance than, for example, unseemly meddling in academic or student affairs.

In Fisher and Tack's advancement study, they conclude, "Effective presidents respect but do not feel as bound by administrative structure as do representative presidents."⁴⁴ Presidential proclivities to oversee key advancement details are less likely to undermine basic chain of command practices if the CAO shares the president's view of what the staff can accomplish—and how hard to push to get there. Conversely, in the absence of congruity of values around work ethic expectations, either the CEO or the CAO may build subtle barriers to staff momentum rather than acting as facilitators.

If the CAO lacks the professional maturity needed, what can the president do to maximize his or her effectiveness? McGoldrick recommends:

Assuming that your vice president and staff are acceptable or better.... Look for a written [advancement] plan.... [Then] meet with your development vice president regularly.... Tell your vice president that you expect a written agenda when you meet. Keep your copy, and look at the collection regularly to ensure that you focus on these.⁴⁵

In his survey, Slinker finds that, "Tracking of advancement progress by presidents is monthly for 55.6 percent...of the respondents and weekly for 33.3 percent..."⁴⁶

The president needs to learn which chores to delegate directly to the CAO and which should be passed on to other staff. "The president and chief development officer must plan ahead...and make sure that the right person makes the right call."⁴⁷ Each has to acknowledge that presidential interactions with other advancement staff professionals will occur. At the small college there are simply too few people working on related projects for this not to happen. At the same time, a president cannot allow an advancement staff member to end-run and undermine his or her CAO supervisor. Consequently, the small college president's approach to each individual staff member is likely to require considerable forethought by both the CEO and the CAO.

How much should a president expect of staff members who do not report directly? Although the CAO will probably be providing annual formal evaluations of those under his or her supervision, "The president has the right to expect [from staff] a full measure of support and quality of effort."⁴⁸ Ciervo believes, "Presidents should insist on loyalty from their institutional advancement staffs and expect professionals to organize their work, manage their time, delegate properly, and meet established deadlines."⁴⁹ Fairly or unfairly, because of the heavily external nature of presidential responsibilities and the limitations of personnel upon whom reliance can be placed, the president's scrutiny of the performance of advancement staff members is likely to be keener than that received by less observable peers within the small college or by advancement professionals who work at large universities.

One strong theme in the literature regarding management expectations of advancement staff members relates to how well such folks are able to handle details. The importance of nuts-and-bolts execution is exemplified by McGoldrick who focuses on one fundamental component of fund raising, the annual fund:

"A critical component of the annual fund is the discipline brought by the staff to the details of organizing lists of potential donors, volunteers, tasks to be achieved, and deadlines to be met.... One year passes all too quickly."⁵⁰ Although imagination and creativity are always prized, the ability to follow through on a project without allowing key ingredients to fall through the cracks is essential. No bright idea will survive casual implementation.

While every advancement professional should be in top form, no employees will need to be as highly organized and as energetic as those tracking potential major donors and foundations during a capital campaign. Feasibility studies probably ought to weigh "staff campaign-mindedness" as heavily as the preparedness of major contributors to step forward. If professional staffers attempt to adapt campaign rigors to comfortable "nine-to-five plus every possible weekend-holiday-vacation-and-sick-day" schedules, there could be a serious problem. In Slinker's study, when presidents evaluated 15 characteristics of professional staff, "initiative" was ranked without a single reservation as the top quality appreciated. "Professional competence" was second, followed by "effectiveness in dealing with constituencies."⁵¹ These same attributes, beginning with need to evidence high energy, are no less applicable to a president who may not yet have hit his or her full sprinting stride.

President as marketer with precious few plums

Unlike counterparts at many larger universities, the small college president is usually not able to offer high status plums such as identification with major athletic programs or international prize-winning researchers. Gala affairs that attract state and national leaders or coveted seats on the 50-yard line are not often available. Relatively few teenagers are likely to be spotted wearing the college sweatshirt at the shopping mall. The new president may even be shocked to discover that some of the college's trustees demonstrate greater allegiance to the nearby, prestigious, big-name university than to the institution where they have given board service for many years. At some point, the fact that the small college may not be a household name outside its locale is likely to stir the competitive juices of a small college president.

In this light, it is vital to remember that "success" in marketing and sales (a kind of "race" that begins at a different starting line for each institution) should be measured over time by percentages of growth and expansion of institutional reputation, rather than by cross-campus snapshot comparisons. This is not always easy when the local newspapers tout the big public relations and fund-raising victories of nearby universities.

What does it take to lead well in this realm? In snowflake terms, there are no traits that apply without exception, no ready-to-apply institution-specific prescriptions for allocating presidential attention among various categorical requirements. However, we do know that, for the CEO, great effort goes into public relations. In Slinker's survey, public relations involvement by the president is rated high by 88.9 percent, moderate by 11.1 percent, and low by none of the presidential respondents. When asked about the handling of specific PR functions, these leaders ranked most highly being the featured speaker at various events, followed

closely by meeting with news media about noncontroversial issues and speaking to community groups.⁵²

At least as important as the promotion of broad community-wide foci (e.g., newspaper press releases and journal features on various aspects of campus swellness) are efforts to reach other specific target audiences.

Among a president's primary constituencies are the alums. At the heart of an alumni outreach program is a strong periodical (often quarterly) magazine that delivers current campus news and features graduates as well as veteran faculty members. This publication, like the case statement, is not the place for a rinky-dink product. Presidents should not be afraid to play the part of an active publisher if key publications need transformation. Poorly prepared alumni news outlets may come back to haunt the CEO through overt expressions of readership discontent or through the quietude of apathy. Neither is affordable.

Special events, which bring graduates and other old friends back to campus, provide places where the institution's best "propaganda" may be disseminated. For the president, these can be wonderful opportunities for the collective dreams of the institution and its supporters to come alive as he or she expresses pride in what the college community has accomplished with the help of alumni support. In addition, "Studies show that the basic difference between the donor alumnus and the non-donor alumnus is the involvement of the former in alumni relations programs and activities prior to [a] campaign."⁵³ Besides, when sufficiently interested, "Alums...can be very instrumental in helping towards admissions and recruitment."⁵⁴

Other special constituency groups likely to deserve more than a touch of presidential attention may include members of the church group that founded or continues to sponsor the small college, neighborhood associations, and other socially or culturally significant groups who have, historically, been cheerleaders for the home team. Often key volunteers for special projects emerge from this pool of supporters.

In fostering institutional reputation, well-conceived and nicely executed public relations efforts are likely to produce hard-to-measure, but important financial consequences. Hamlin believes:

The ultimate success or failure of a college in overcoming a financial crisis will depend in large measure on the vision, enthusiasm, and marketing skills of its leader.... The private college president's evolution from scholar to salesman appears to be a role that will continue to gain importance as financial pressures require ever greater attention in the future.⁵⁵

Fisher points out an ultimate purpose of a public relations program: "[It] exists to enhance the ability to generate resources for...your academic program."⁵⁶ Conklin adds, "A sound public relations program in support of development goals does not start when campaign solicitation starts. It has to be an ongoing activity—one that precedes the campaign, accompanies it, and follows it."⁵⁷

The president's selective marketing and sales efforts usually reach their height in approaching major donors for the capital campaign; "the president is the main

solicitor, particularly of large gifts, and often the only cultivator of major prospects."⁵⁶ Whittier notes:

People still give to people and they prefer to negotiate the use and terms of a gift with the person who will be responsible for the stewardship of the gift. When the stakes are large enough, there is almost no way that the president can avoid involvement. It is the president's prestige, position, and leverage which can tip the balance.⁵⁷

McGoldrick goes further in suggesting that presidents' "ability to persuade 'the critical few' to support [them and their] institution" will determine whether or not they succeed in development.⁵⁸

This message has not been lost on most campus leaders. In Slinker's study, a majority of the presidents responding indicated a willingness to "call on and close" prospects contributing from \$5,000 to over \$30,000; they did so in increasing numbers at each \$5,000 interval up to \$30,000. At levels above \$30,000, nearly 92 percent saw involvement as their responsibility.⁵⁹

Respondents to the FY 1990-91 survey of CIC colleges indicated that of the time presidents spent with their chief fund-raising officers, the greatest amount (35 percent) was spent discussing major donors. Lesser amounts of time were spent on general fund raising (28 percent), general administrative issues (18.2 percent), public relations (14.3 percent), and other matters (4.4 percent). In addition, presidents were reported to be spending 59 percent of their total fund-raising time on cultivating and soliciting major donors.

Trustees provide a key set of advancement relationships to assist the small college president in making and sustaining contributor contacts. As Legon observes, governing boards "must participate directly in cultivating and soliciting prospects for support."⁶⁰ Not only do trustees open doors to individual benefactors, they also can provide "high-level contacts on [a] corporate or foundation board.... People give money to people they know and trust."⁶¹

Once the president has set the climate and identified allies in seeking major donor support for the capital campaign, he or she must play a loose oversight role in the marketing and selling of what is inherently a complex operation. Capital campaign activities include prospect research, cultivation, solicitation, acknowledgment, and preparation for renewal of requests. The CAO ought to be able to help direct the president around the basic technical mechanics of each phase.

If the institution hires consultants to help develop its strategic plan, the president will need to ensure that the recommendations received in auditing development operations and conducting capital campaign feasibility studies are not merely "cookie cutter" in approach. If they are too much conceptual and too little major donor-specific to the institution, the CEO should press for greater hands-on analyses. What the institution needs is increased dollars from actual donors, rather than boilerplate reports about how the job ought to be handled by staffers once consultants depart. The president should always be wary of word-processed documents that are easily adapted from one campus to another. These are likely to be more in the economic interests of the visitors than of the college.

To some uninitiated presidents, this entire process may seem to represent the

crass business of "selling a college for dollars." However, a universal rule that CEOs might wish to keep firmly in mind is that "the interest of the [potential donor] individual must be paramount, even at the expense of the gift."⁶⁴ No donation, no matter how large, is worth abnegation of benefactor integrity. Nor should any such contribution be allowed to violate college mission. This is not only expedient marketing; more important, it validates institutional soul.

The motives for giving are as varied and mixed as the number of donors. Some contributors are pragmatically watchful of the benefits of tax deductions, retirement planning assistance, networking ties with campus constituents who may provide business opportunities, and recognition to be gained within the community. Whatever their intentions, most donors will also have deeply felt altruistic purposes. "Payback people" are grateful for what life has given them. They may find joy in knowing that their college degree is growing in value. Their greatest plum might come from making a difference in the lives of the generations who follow them. They probably will believe strongly in the mission of the college and in their friends who represent it.

In reviewing research on major donor motivation, Dove finds:

People give more often to realize personal fulfillment and out of dedication to an institution than as a result of federal and state tax policies.... Major gift donors have strong values and deep beliefs.... They often desire to provide opportunities for others that they did not have themselves, to help the less fortunate, to improve the quality of life, to solve problems in society and to preserve and perpetuate values of human kind, especially the values they hold dear....⁶⁵

Once presidents (who generally have not been trained to seek money from people they know) truly understand what motivates gift giving by individuals, they will find it much easier to approach major donors. As Willmer observes, "Probably one of the worst mistakes in the fund-raising business is staying home and not making face-to-face calls.... For small college fund raisers... finding reasons to stay in the office is easy and comfortable."⁶⁶

Those presidents who are likely to find longevity in their position will enjoy sharing the precious few (mostly altruistic) plums they have to offer generous associates who are willing to partner with them to make a difference to the small college.

Respondents to the FY 1990-91 CIC survey offered some encouraging evidence of presidential fund-raising skills. On a five-point scale, (with 1 being "strong," and 5 being "weak"), these small college leaders received an average assessment of 1.72. While such perceptual measures are by no means definitive indicators of actual success, they do reflect reasonable confidence in presidential advancement capacities on behalf of small colleges.

President as politician-athlete

For those who are distant from the daily activities of the small college president,

one of the least imaginable challenges of the advancement job is the management of internal campus politics. Shouldn't externally oriented public relations, fund-raising, and admissions efforts—unlike curriculum development, student affairs, and budget-making—be virtually free of campus conflict? Unfortunately, as many exhausted presidents will attest, the answer is "no."

Not only is there no political dividing line between internal and external constituency obligations, but the politics of "who gets what, when, how"⁹⁷ can be every bit as intense in this realm as in any other area of academic leadership. As one observer notes, "There is a political aspect to the presidency that one overlooks at one's peril."⁹⁸ Such an observation is not new. Woodrow Wilson, who had been president of Princeton University before he became president of the United States, offered this now classic statement, "I'll confide...that, as compared with the college politician, the real article seems like an amateur."⁹⁹

In any enterprise, especially where the product is an intangible service, few factors so affect marketability as does reputation. Consequently, internal morale, with its spillover tendency to affect institutional image, counts a great deal. In this area, Fazio and Fazio find, "Prospective donors will quite likely ask what others are doing for the campaign. By 'others,' they will usually mean other trustees, administrators, faculty, staff, alumni and parents. They will base their response to your case in part on what you and those close to the institution have contributed."¹⁰⁰

Unlike the more hierarchical culture of the traditional American corporation, the maintenance of an optimal political atmosphere on campus is more easily questioned than secured. One writer, citing the "notoriously slow" rate of academic change, refers to the "historic schism between the development and academic sectors of the institution."¹⁰¹ Another asks, "Why does the internal community often have such a poor understanding of campaigns?"¹⁰²

Among the fundamental differences between those who work in advancement and those in the academic sector is that the latter often appear to fund raisers and admissions personnel to place a lesser value on subordinating departmental interests to institution-wide goals. Furthermore, academicians have been acclimated to anticipate and freely tolerate lengthy disagreements. There are even observers who believe that the iconoclastic nature of some professors makes them find campus conflict as enjoyable as good theater. Over against this view, many advancement officers long for the day when their respective presidents can speak for the institution as a whole to the outside world. If they have not served on a campus before, they may be shocked to find that the literature of higher education is replete with references to the intensely factional nature of campus politics.

This sample of the published perceptions below will provide perspective for novice advancement professionals and college presidents who have not risen through the ranks:

- "The dilemma comes with balancing competing priorities against the need to spend time, money, and attention on fund raising. Student problems, academic matters, enrollment concerns and financial issues clamor for consideration."¹⁰³
- "No matter how successful a campaign, chances are it will not solve long-term accumulated problems such as low faculty salaries, deferred maintenance, and budget deficit.... Faculty members, alumni and others will want to know why

the president is not funding their favorite projects.⁶⁷¹

- "A college is people who interact in myriad ways. They collaborate with one another and compete with one another.... Most however—perhaps even all—engage in conflict with their colleagues at one time or another. The community of scholars is a fiction.... Institutional personnel can be fiercely territorial, and many may take poorly to any intrusion, real or imagined, on their responsibilities, even when they themselves are neglecting them."⁶⁷²

- "The normal faculty criticisms of a president are many and varied, and are often contradictory. If he is always home, he is a nobody; if he is often away, he is neglecting his homework. If he spends little time with faculty, he is aloof; if he spends much time with them, he is interfering in their proper business.... If he spends much time on fund raising, he is a huckster; if he doesn't, the financial situation gets worse. We might as well admit that the president will usually be between the rock and the hard place."⁶⁷³

- "The president...must practice the skills of the politician.... He or she must frequently be satisfied with half a loaf. Skill in the art of the possible—that is, politics—is increasingly recognized as the sine qua non of the successful college president."⁶⁷⁴

The frustration presidents sometimes feel with faculty members emerges from a potential for conflict over the faculty role in advancement. Presidents understand the vital importance of the professoriate, including the need for their assistance in recruiting students and in expecting that "... grants [ought to] be made the express responsibility of the faculty within the campaign structure."⁶⁷⁵

And yet faculty—especially the most highly traditional faculty scholars—may well feel that because they do not ask the president and the advancement staff to teach their classes, grade their tests, advise their students, do their research, or meet their committee responsibilities, they shouldn't be expected to do the work administrators are paid to handle. If they wanted to be in sales, they would not have chosen the teaching profession in the first place.

Those who teach and administer academic programs are by no means alone in bringing distinctive expectations to the advancement table. Kerr and Gade note that students who are political activists often "want support for their causes, or, at least, a supportive environment."⁶⁷⁶ On occasion a president will also hear from parents and other family members as well as church and community spokespersons who are seeking particular ends.

Among the potentially most assertive participants in small college advancement decision-making processes are the alumni. Forman asserts, "Alumni see themselves as judges of the performance of the institution and of those responsible for administering the affairs of the university."⁶⁷⁷ Many have maintained close ties to board members, professors, athletic coaches, and the entire range of campus community dwellers. Often their interest in the well-being of their alma mater is intense for economic reasons as well as sentimental ones. They feel that what the institution does impacts upon the reputation of their degree.

Finally, the most politically significant advancement constituency to a president is the board of trustees. Kinnison identifies the political dilemma that the institution's trustees can present:

[A] word of caution: Trustees are supposed to deal with policy issues

and leave implementation and administration to campus administrators. Drawing that line always is difficult—nowhere more so than in fund raising. When the development committee asks policy questions...it is easy to infringe upon administration.⁸¹

Legon touches the same concerns: "Overall fund-raising is somewhat atypical of other board responsibilities...[going] beyond the traditional policy and oversight rules associated with their other tasks."⁸² This potential problem for the president is compounded when, as Dowden finds, "Most presidents felt that their boards were inadequately prepared for the fund raising role."⁸³

While no single constituency is likely to be too difficult to manage, the aggregation of shifting interests threatens to wear on a president far more than any casual observer is likely to realize. As one president candidly acknowledges:

I resigned my college presidency when I discovered that no one in my institution had any [realistic] conception of the presidency. Everyone expected me to be involved in the details of the institution, to see them whenever they wanted to be seen, to attend innumerable committee meetings, to introduce every visiting speaker, to greet every returning alumnus, and, to boot, to entertain all faculty members and their spouses at lunch or dinner at least once a year. Most college presidents continue to live this kind of a harried, hurried, routine-full life with the result that they are always weary, always short of time....⁸⁴

This refrain is constant. One researcher notes, "Many... presidents reported great pressure related to time constraints."⁸⁵ Being a college president often seems to require the stamina of a dedicated athlete. As another writer observes, presidents "know that there are only twenty-four hours in each day. Good presidents are frustrated by this limitation and begrudge the need to spend some [time] sleeping."⁸⁶

Stepping out of conflict's way is not always easy in intimate settings, especially during the wearisome months of December and April, and amidst articulate colleagues who have been trained to be critical thinkers. "In the small college, the president plays a more personal role; he or she may be expected... to deal with problems in face-to-face negotiation or conversation. In large universities, on the other hand, the president may be a distant figure... [delegating] day-to-day operations."⁸⁷

Among the more fascinating political hurdles are language barriers. Savvy presidents learn to watch out for skewed use of words like "progress," "priorities," and "communications." Proponents of "progress" (or "change") rarely target themselves for the sacrificial component of this concept. For some, progress is what a good leader is supposed to force on others who require it (while leaving themselves unattended). Similarly, the notion that a college needs "to get its priorities straight" is not infrequently a call for making one's own agenda more important. And the need for "better communications," a demand that can be heard with passion on virtually any campus, often can be translated as follows: "Relate

to me in person, one-on-one if possible, exactly what you plan to do so that, if necessary, there may be adequate opportunity to gather support against it." It is not always easy to tell whether a speaker is using loaded linguistics or the standard dictionary definitions of terms.

Despite multiple political obstacles facing them, presidents of small colleges do not arrive there by accident. By and large, these are people who never aspired to run General Motors. For most, the basic values of their professional associates are, for better and for worse, their own. They generally entered academic life with a powerful desire to make a difference in the educational lives of students. They will usually make every effort to listen, to hear, and to speak sensitively to the advancement aspirations of their educator colleagues. They may prefer most of all to be involved in mutually respectful, collaborative relationships, and, like fellow human beings, these CEOs are not immune from the need for personal affirmation, which, as Hesburgh warns, they are not likely to receive as often as they would like: "Criticism will be a far greater part of our presidential life than plaudits and gratitude, and you will sleep better if you recognize that fact from the beginning and don't court disappointment and personal hurt by expecting what you will not get."⁸⁸

Even the most "open" CEO cannot afford to try to handle all of the skirmishes that occur on campus. Chewing up the chief institutional symbol in non-essential internal squabbles is no prescription for presidential success in external relations. Advice for all on campus to consider: Let each of those officers who report to the president absorb as much daily conflict as possible, saving the CEO for those disputes that only he or she can solve. As one writer advises chief executives, "Most problems fit logically within the portfolio of one of your senior administrators....and they will have a stake in seeing the solution succeed."⁸⁹ Paraphrasing Harry S. Truman, if a small college leader inherits the kinds of administrators who simply cannot take heat without sending it, covertly or overtly, up the organizational ladder, such persons should look for another kind of kitchen.

Finally, this rule of thumb would seem to be politic for CEOs: "Don't overreact. Except for real emergencies, deal with most issues only after due study and consultation. Even those few matters that seem too urgent for the regular consultative process can usually wait 24 hours, to allow a few telephone calls and some thoughtful consideration."⁹⁰

Another writer concurs, "Presidents who, in the urgency of resolving critical problems, overlook consultative processes run the risk of not getting campus support or cooperation when the time comes to implement necessary changes."⁹¹

An advancement program that is solidly backed by all constituencies maximizes chances for expanding institutional strength. This makes the highly personal role of politician-athlete one that the president of a small college must play exceptionally well.

President as public symbol of three eras

In nearly all presidential inaugural addresses, you will find the speaker linking a proud institutional tradition, an assessment of current realities, and a vision of what can be accomplished in the years ahead. This happens not because newly

appointed chief executives pass scripts from one to another. Instead, these new leaders almost universally recognize that, no matter how modest they prefer to be, they have become the public symbol of three eras—what the institution was, what it is today, and what it hopes to become in the future. Dunlop places this reality into an advancement context: "Your first and foremost role as president in major gift fund raising is to be the soul of your institution through which its values pass. Through you those values are recognized and given voice."¹²

When representing present-day ethical standards, the small college president, like Caesar's wife, not only has to rise well above even the appearance of impropriety, but also must model social behavior patterns that most parents would be pleased to have their children emulate. Fisher and Tack nicely introduce this role of symbolic leader:

Effective presidents... think carefully about what they say and do.... Our eighteen interviewed presidents reinforce the linkage between self-control and effectiveness. According to them, effective presidents must have control over their emotions, actions and words. They seem to feel that they are always being observed—perhaps even analyzed.... [They] are committed to their work often so much so that they cannot distinguish their presidency from their person.... Effective leaders balance distance and privacy with closeness and familiarity; they lead warmly, with care and respect, but always from the presidential position.¹³

Slinker captures a prevalent view on this subject: "The president is a role model and the only campus individual who has a total view of the institution. A president must clearly communicate the value and characteristics of institutional advancement to constituencies."¹⁴ Hesburgh adds, "Despite anything he says, the president will declare much more by how he lives, the concerns he exemplifies, the causes he supports, the public service he renders."¹⁵

In the literature on what it takes to be an effective presidential educator, many writers call for expressions of "vision," the ability to see and define future campus prospects long before they are realized. One writer observes, "The president's most important task is to articulate the vision. You can have all the rest—the personnel, the budget, the feasibility studies, the screening committee, the campaign plan, the shopping list of specific needs—but without the vision you haven't got the most important element."¹⁶

While it may be easy to agree that effective presidential representations of past, present, and future expectations are important components of the job to be done by the president who is neither unimaginative nor delusional, at least two tougher issues arise when vision-building is being attempted.

First, "vision talk" has achieved such widespread usage that it is in danger of becoming a cliché of apple-pie proportions. A president must work extremely hard to distinguish the institution's distinct "vision" from the thousands of others being proclaimed from coast to coast. It does little good to echo slogans like, "We offer a personalized, values-based, quality education." It may be true, but is that enough to make College X different enough from competitors to merit the support of enrollees and friends? The point is not that vision-espousing authors are wrong, but that the president's aggressive exploration of unique future identity

options will demand painstaking energy and the eye of an artist, as well as the investigative skills of the historian and social scientist.

A second major issue for the small college president is how much "vision-talk" is too much and how little is too little? Probably the safest answer is that it is very hard to overdo the delivery of a well-conceived, multi-faceted prophecy of what might be achieved by all who work together to advance the small college. For audiences of busy people who are often selectively preoccupied with grass roots agendas, the fact that broad visions may have been communicated often is no guarantee that they will either be perceived as redundant or, in fact, that they will be "heard" at all.

The role of president as human conveyor belt of campus dreams is noted elaborately in the higher education literature. As one writer suggests, by definition "the president is the star of the show, the Hamlet, and whoever takes the part must be prepared to be on stage for a good portion of the play."¹⁰ There probably are limits to the exposure a president can generate for his or her college, but the odds suggest that the greater danger lies at the other end of the continuum.

In time, the president, in conjunction with the "critical... role of the... spouse" if one exists,¹¹ is likely to become, in the minds of the local community, much (not all) of what the institution seems to stand for across generations. Even a presidential couple's casual moves when shopping, jogging, or tipping the local waiter can affect the institution's image. Being the symbolic leader of three distinct eras is not easy, but it is critical to the well-being of the small college. As a result, the satisfaction of doing this particular aspect of the job effectively can make the CEO's heart beat very quickly with pride.

Weaving gold from straw

The economic conditions under which small private college presidents are expected to succeed in advancing their institutions, may seem "Rumpelstiltskin-like." Difficult though the challenge may be, these presidents really have no choice but to do whatever they reasonably can to be active advancement leaders. "Experience shows that successful presidents are successful fund raisers."¹² Conversely, "Presidential procrastination in institutional advancement victimizes the potential of the college... stranding the institution on a road to mediocrity or failure."¹³ Benign neglect by the CEO of the area of enrollment management can be even more devastating to campus advancement fortunes than the president's low-level interest in development.

If one thinks of all the adjectives academic leaders would wish to have attributed to them, words like "wise," "erudite," "far-sighted," and "caring" come to mind. On the other hand, "opportunistic" connotes a less flattering series of images—"sly," "slick," or "self-interested." Yet in the world of advancement, where there are few, if any, blueprints to follow and where it is impossible to be certain about which prospects may come to fruition, perhaps small college presidential search committees should reconsider any negative predispositions they may harbor toward candidates who evidence an unusually "opportunistic" turn of mind.

Note what these writers say:

Higher education needs strong, confident, dedicated, decisive, risk-taking, visionary presidents who can capitalize on opportunities and solve difficult problems. Since such individuals will be essential to the viability of higher education (and of society in general) in the twenty-first century, we must ensure that our search and selection processes bring them to the leadership of our colleges and universities.¹⁰¹

Henry includes among qualities that lead to success "a pragmatic and entrepreneurial frame of mind that spots opportunities when they surface...."¹⁰² Writing about the approximately 10,000 men and women who will serve as college and university presidents during the last two decades of the 20th century, two researchers conclude:

Nearly all these presidents will have affected their institutions in some significant manner and occasionally in major ways. Some institutions will have survived because of their presidents while a few will have failed for the same reason.... Occasionally an institution will have been moved clearly ahead; and, rarely, some segment of higher education—or even all of higher education—will have been clearly advantaged because of some president's contributions.¹⁰³

How many times have presidents heard folks say, "Of all the aspects of your job, the one I could never do is ask people for money?" How many others have thought that they wouldn't be too keen about leading the chase after enrollee prospects? How many people are just plain shy about "public relations," unconsciously linking these efforts to used car salesmen stereotypes? When such psychological associations occur, they produce a fundamentally incorrect assumption about the nature of presidential advancement.

In courting the support of potential contributors, the campus leader who asks others for assistance has no reason to feel embarrassed. If the institution being served deserves to thrive because it is fulfilling an important societal function, any claim that is touted is not made on the president's personal behalf. In fact, the function of the small college president as server of a significant educational purpose allows him or her to help potential students and donors become important beneficiaries of advancement interactions. Dove concludes, "There is nothing to fear. Giving itself is a joyful activity.... Many people are pleased to be offered the opportunity to invest in higher education."¹⁰⁴

It should not be surprising to find that "effective presidents view their institutions as facilitators for advancing the larger society's broad goals."¹⁰⁵ At the very heart of a small college president's system of beliefs, there must be this basic appreciation: "Small colleges are unique to American higher education. They must be preserved and strengthened. There are people ready to receive the message, and there should be advocates ready to deliver it."¹⁰⁶

Any small college chief executive officer who expects to succeed in advancement must acknowledge that there is no single key role to play in this exceptionally complex arena. Instead, there are at least eight roles to be played with enthusiasm.

they are inextricably interdependent and inseparable from all else this academic leader does, both on and off campus.

Notes

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The Trustees' Critical Role in Small College Advancement

Robert W. Neff

Trustees set the tone for an institution. They approve the institutional goals and sustain the institutional mission through the policies they set. As the owners of the institution, they are entrusted with the oversight of the leadership of the college and are charged with securing resources for its mission. The board also defines the organizational horizon of the institution. Neither presidential leadership nor staff competence can advance the small college very far beyond the vision and ownership of the trustees.

The board's role in advancement is critical. According to Robert Gale, former long-time president of the Association of Governing Boards of Universities and Colleges (AGB), "Without help from the governing board, institutions cannot be expected to reach fund raising goals they set for themselves. Board members need to feel responsible for helping to raise money."¹ The board's role in advancement, however, goes well beyond asking for a gift or referring a donor. Clearly the advancement function of the board extends to assuring the following (among others): a clear mission statement, well-defined goals, a consistent marketing plan, an oversight of revenue generation from student tuition to a donor's gift, and the development of the board itself.

Within this larger mandate, how does the board engage itself for the advancement function? What is the relation between the administration and the board in advancing the institution? How do mission definition, market plan, gift solicitation, and admissions find a coherent place within the board? How do boards assist their leadership in the advancement function? These are the questions this chapter addresses.

The success of a small college's advancement effort depends on the members of the board of trustees fulfilling four distinct roles, which only they can assume:

- providing the policies and mission statement necessary to enhance advancement efforts;
- structuring the board to facilitate advancement concerns;

- being actively involved in generating resources; and
- developing the board to serve the needs of advancement.

For the small college, the board fulfills these roles most effectively through eight strategies, two flowing from each role:

1. Assure clarity of mission.
2. Establish advancement-friendly policies.
3. Structure a proactive committee on advancement.
4. Facilitate a productive advancement partnership with the president.
5. Generate generous personal financial support.
6. Confidently ask others to support the institution.
7. Recruit, orient, and train advancement-active trustees.
8. Evaluate trustee advancement effectiveness frequently.

This chapter will elaborate these eight strategies by drawing from the professional literature, data from the FY 1990-91 survey of the members of the Council of Independent Colleges (CIC), and the author's personal experience as a college president and member of several boards.

Strategy no. 1: Assure clarity of mission

The first priority of the board is to see that the college or university has a mission statement that will assure clarity of purpose and preserve the institution's historic strengths. This is particularly important for the small college; as Hobbs says, "Unless the institutional advancement officer is able to convey the college's vision of its purpose and character to others in terms they can understand, advancement is an empty exercise, for there is really nothing to advance."² Knowing the mission is the first step toward effective advancement.³ Mission definition is not a task that is done once and then forgotten. It requires constant monitoring and regular restatement or reaffirmation by the board.⁴

It is essential that board members work with the president in articulating the vision and mission of the college to donors and potential donors. Presidents who are successful have the capacity to generate enthusiasm and ownership in the mission of the institution. Ownership of the institution's mission that is shared by the president and the board provides the foundation for solid advancement efforts.⁵ More fund-raising prospects falter because of the institution's failure to present a clear mission than for any other factor.

Inevitably, an organization is measured by its consuming objectives, and by the zeal with which it regards its ultimate mission. Large gifts go to the institution with a sense of destiny. "The mission is crucial as far as I am concerned," says Edwin Whitehead [company executive and member of numerous college and university boards]. "The mission is first, I don't care who calls on me, that's second. So many institutions don't have a mission. They won't be able to raise money from me. They won't be able to raise money at all." Whitehead concludes by saying that he expects noncompromising quality, the highest of standards, in the institutions he supports. He looks for long term goals. And first and foremost, he must identify with the mission of the organization.⁶

From the clarity of direction in the mission statement, everything else flows—consistent marketing strategy, a coherent case statement, undergirding of current operations, and powerful appeals to prospective donors and prospective students.

Strategy no. 2: Establish advancement-friendly policies

A college should provide policies on advancement issues including campaign goals, a budget adequate for advancement activity, marketing plans, and receipt and use of gifts. These broad policy directives must come from the board since they define a consistent posture for the institution with all its constituencies.

There should be a common marketing strategy for the institution that flows from the mission statement. Board oversight is required here because such a strategy defines the public posture of the institution to all its constituencies. This posture should be clear, consistent, and derived directly from the mission statement in the context of market realities.

The board must own the size of any campaign goal. While a recommendation for campaign size should come from the board's Advancement Committee, the board must act on the goal and the timeframe for the campaign. Since 20 to 40 percent of the goal will be given by trustees, they must feel comfortable with the campaign and its objectives. This outcome requires full-scale discussion before the board takes final action on the campaign goal.

The board should adopt a clear policy for receiving and recording gifts to the college. Periodic review and amendment of this policy should be undertaken by a Gift Policy Committee that includes the chairs of the Advancement and Audit Committees of the board of trustees and the vice presidents of college advancement and financial affairs. The policy should be in general accord with reporting guidelines established by the Council for Advancement and Support of Education (CASE) and the National Association of College and University Business Officers (NACUBO).

The gift policy details the guidelines for accepting and receipting gifts of cash, securities, and real and personal property, and the attendant appraisal and valuation requirements imposed by the Internal Revenue Service. The policy also enumerates the requirements for the accounting of all planned gifts, realized bequests, bequest intentions secured by a contractual estate note, and gifts of life insurance.

In addition to establishing the guidelines for accepting and recording gifts, the gift policy prescribes parameters for recognizing gifts through named opportunities. The minimum gift levels required to establish a named endowment or other program should be established. An example of such gift levels might be:

Endowed Chair	\$1,000,000
Endowed Professorship	250,000
Endowed Program Fund	25,000
Endowed Scholarship	25,000
New Facility	50 percent of construction costs
Restored Facility	50 percent of replacement costs

Related to all these policies is the requirement for adequate staffing and resources. The board will require guidance from the Advancement Committee and

the president as it approves the budget so that sufficient funding is available.

This may be problematic as institutions gear up for major fund-raising efforts. Cash infusion for staff, technology, and marketing requires a board educated to the particular needs of advancement efforts.

Finally, in the selection of the president the board needs to keep in mind that the president will spend 40 to 50 percent of his or her time in advancement.

Strategy no. 3: Structure a proactive committee on advancement

The structure of advancement-related functions varies in the smaller institutions. A vast majority (88 percent) of the CIC colleges that responded to the survey have at least one committee of the board devoted to the advancement functions of admissions, alumni affairs, fund raising, and public relations. Only 12 percent do not have such a committee. However, 37 percent have no committee that deals exclusively with alumni or public relations. A larger number (53 percent) have no committee related to admissions and recruiting. The survey data suggest that at least half of the institutions in the study consider the advancement function to include admissions, alumni, and public relations. This recognition enables these colleges to develop a common marketing strategy for these functions.

Although the Committee on Advancement is not often referred to as the Marketing Committee, this committee has the best opportunity to provide guidance and focus toward a unified marketing plan and strategy for the institution. Because the board is entrusted with guiding all the resources of the college toward its mission, a comprehensive marketing approach is appropriate, if not essential. The rapid pace of changes, internal and external, call for critical ongoing attention to the sound deployment of all resources—human, intellectual, and financial.

While business and profession-based board members are familiar with the need to be market-sensitive and responsive in their daily work, they often display uncertainty in applying strong marketing principles and structure to the governance of independent institutions of higher education. Today's challenges to the independent college call for boldness and creativity in the application of marketing know-how to the work of advancement. The Advancement Committee should provide such a marketing plan for the institution.

The modern Committee on Advancement that develops a common marketing strategy for the institution should provide oversight of the annual fund, major capital campaigns and revenue generations to support current operations, student recruitment, alumni relations, and the public posture of the institution. This definition of responsibilities flows from the need for a unified market orientation for the college. Otherwise, a marketing plan will become splintered and the image of the institution diffuse.

The Committee on Advancement has the responsibility of designing fund-raising campaigns and recommending the size of campaign goals. While any task force on the campaign and its organizational structure will be supplemented by representatives of other constituencies of the institution, the core of the leadership will come from the board itself. The board will eventually reach out to alumni and friends to encourage their support of the college. Therefore, the Committee

on Advancement must devote its energy to strategies that will engage the board and activate all constituencies on behalf of the institution for the purpose of meeting the expressed financial needs of the college.

The most important infusion of funds for any college comes from the recruitment of students. From a marketing point of view, the oversight for admissions should come from the Advancement Committee in order to provide a coherent marketing strategy. This oversight should bring trustees closer to the most pressing issue facing the small college today—recruiting students without giving away the store. The Advancement Committee is positioned well for these discussions.

It follows then that alumni relations grow out of this first contact with a student. The institution may have a relationship with the student from recruitment throughout the rest of his or her life. The Advancement Committee will review ways to keep this person involved in recruiting other students, promoting the college, making annual gifts, contributing to campaigns, and serving as a trustee. In other words, each alumnus has the potential of becoming an advancement agent for life. Once the Advancement Committee grasps this concept, it has come of age.

The creation of the Advancement Committee should not be seen as an abdication of responsibility by the rest of the board. In a real sense *everyone* who sits on the board is a member of the institution's advancement team. One often hears around board meetings, "You people who are 'stuck' on that committee are responsible for the fund-raising 'problem.'" While the committee exists to provide policy oversight in advancement, it has another fundamental task: to engage the whole board in the advancement efforts of the institution.

The Committee on Advancement recommends the size and components of the campaign goal to the board, provides oversight for the annual fund and for current operations support efforts, and provides oversight for recruiting of students as well as a coherent marketing plan. There is no other board committee where the partnership with the president and staff is more critical.

Strategy no. 4: Facilitate a productive advancement partnership with the president

The close partnership between the president and the board is critical to success. The most important relationship is between the president and the chair of the board. These two people must sing from the same page of the same song book. They have a partnership in all aspects of board life, but particularly in articulating the mission, assisting in board development, and marketing and soliciting funds for the college. Their partnership models the relationship between board and staff for advancement.

In a recent study of the involvement of trustees in campaign planning, the experience of 29 liberal arts colleges and universities revealed some interesting patterns:

From telephone interviews, we learned that when trustees were more actively involved in planning the campaign, they tended to assume more responsibility for campaign success than trustees who were less actively involved. Since trustees were more actively involved in plan-

ning, they were also better informed about the needs of the institution and the case for support. This tended to translate into more "missionary zeal" on the part of these trustees who were better equipped, more informed, and thereby more willing to make solicitation calls than trustees who were less involved.... Even before this study was completed, it was apparent to our new president that he had to work with the board to involve them in planning and build a new level of consensus.⁸

This joint ownership in the planning and in the mission brings trustees into active modes of solicitation and giving.

The partnership extends even further as trustees actively market the institution; cultivate, solicit, and thank donors; and model volunteer roles for the college. Boards must be involved in planning if they are going to buy into the development program. Gale suggests the following roles for board members:

1. See that planning is conducted—both institutional and fund raising.
2. Be involved in that planning.
3. See that an adequate development budget is established.
4. See that top staff is enlisted—the chief executive makes the decision, but the board should make sure that the institution is not "saving" money by paying below-market salaries.
5. Set the example for others by giving—both annual and capital—commensurate with their means.
6. Talk up the institution to all of their contacts, especially to potential donors.
7. Identify potential prospects.
8. Cultivate prospects as directed by the development staff.
9. Cultivate prospects—alone, with the chief executive, with others—as programmed by the staff.
10. Take volunteer leadership roles in annual and capital campaigns when asked.
11. Help motivate and direct other volunteers.
12. Thank donors to the institution—in person, by phone, or by mail—as asked to do, but also spontaneously. No one can be thanked too much.⁹

To carry out these tasks requires solid staff work and clear communication between staff and board. This close relationship between staff and board, which is peculiar to advancement, is necessary if the advancement program is to be effective. Staff must provide the necessary research, give background, and clarify tasks for the trustees to fulfill the role assigned to them. Often staff needs to stand in the background as a trustee solicits a gift or represents the college. The quality of the partnership between the board, the president, and the staff will define the measure of success in advancing the small college.

Strategy no. 5: Generate generous personal financial support

When the CIC respondents to the FY 1990-91 survey evaluated the giving capacity of their boards, the results (Table 5-1) suggest reasonable potential on most small college boards. However, it's not the potential to give that matters, but the actual gifts themselves. This was not measured in the survey.

Table 5-1: Percent of Board Members Capable of Making a One-time Gift (Excluding an Estate Gift)

Not more than \$5,000	52
\$5,001 to \$25,000	29
\$25,001 to \$100,000	22
More than \$100,000	17

The trustees' willingness to give sets the margin of difference for an institution. No small college can advance beyond the trustees' capacity to give. Michael Radock, former vice president of university relations and development at the University of Michigan, states: "First and foremost, trustees must set an example for others by making generous personal contributions within their means."¹⁰

All trustees should make personal gifts to the institution each year. Their names should lead the lists in annual fund categories and in a capital campaign. Arthur C. Frantzreb suggests that a primary responsibility of trustees is to make financial contributions: "To participate in the current budget support program as a mandated obligation to the fullest extent of capacity; in special programs as capable; and in planned gift programs by bequest, estate plan, and/or deferred gift device."¹¹

Solicitation for any capital campaign should begin with the trustees because their gifts and pledges will establish the campaign goal. Corporations and foundations will ask, "What have the trustees done?" Friends and alumni of the college will ask, "How much have the trustees contributed?" A feasibility study for a campaign will begin with interviewing the trustees to determine their level of support, and the findings will establish the goal for the campaign.

The same is true for the annual fund. When I came to Juniata in 1986, our annual fund goal stood at \$275,000. Trustees who made capital gifts felt they did not need to contribute to the annual fund. They were assuming no responsibility

for raising money for current operations. In 1988 the chair of the Advancement Committee took on the responsibility of soliciting trustees for the annual fund and convincing them of the need for both capital gifts and annual gifts to support current operations. We moved from \$275,000 in 1988 to a record \$882,000 in 1992 and from a 36 percent participation rate by alumni to 45 percent.

This leap in just four years grew out of trustee performance, which moved from half-hearted support for the annual fund to whole-hearted endorsement. At Juniata 100 percent of the trustees now contribute one-sixth of the monies for the annual fund. This action sends a clear message to all constituencies that assistance for current operations is important. With board leadership we changed the culture of the college to endorse support for current operations while maintaining the board's commitment to capital gifts.

I remind the board constantly that one of the greatest contributions they can make to the advancement of the institution is to assist in recruiting students. One trustee on Juniata's board sets a goal each year to recruit four students from his home area. Trustees can make a direct impact on recruitment by hosting admission functions in their homes, talking to parents and prospective students, alerting the admission office of likely candidates, and speaking about the special character of the college to colleagues and friends. Recruiting one student is equivalent to a \$10,000+ gift to the college.

C. Holger Hansen, former vice president for institutional advancement at Haverford College, maintains, "The board sets the example for all other donors to the institution."¹² What the board does serves as a model and defines expectations for giving. If the board members provide a low level of support for the college, it is impossible to believe that others will act any differently. If they provide high levels of support, other constituencies will raise their sights as well.

Serving on the board of directors for an organization carries financial responsibility. Walter Haas, former head of Levi Strauss, illustrates this point.

Someone like me should not serve on a board without supporting it financially. I think that every board member should give. I don't think you can ask others for money unless you've given yourself. Of course, some people are good board members because they give money, others are better at giving time, and others their special experience. But I still think that giving should be a prerequisite to board membership. It's just like being on the board of a corporation, you should own a few shares of stock.¹³

Strategy no. 6: Confidently ask others to support the institution

The fund-raising responsibility of the trustee is not limited to personal giving. Trustees must also be willing and able to help the institution make connections with foundations, corporations, and other individuals who share the purpose and mission of the college. Trustees provide a third-party endorsement that no staff person can bring. Furthermore, trustees who understand the mission of the college may provide more powerful and persuasive testimony than either the president

or another staff person. Trustees must be willing to visit other leaders on behalf of the college.

Pocock suggests, "The trustees truly become the peer surrogate of the president. After all, trustees guide the policy at the highest level, they preside over expenditures, they watch over the future. It is the trustees who legitimately join with the president in cultivating and soliciting donors."¹¹ I have found that as trustees grow in their understanding and ownership of the institution, they grow in willingness to ask others for support. In fact they begin challenging one another to assume leadership roles in soliciting donors.

The most effective trustee visitor is one who understands the mission and already has a high level of investment in the institution. Without such investment by trustees it is unlikely that persons outside the college will make substantial commitments to it. A respected colleague carries credibility in a way that no staff person can.

Confidence comes from the trustee's knowledge of the institution and from the level of support he or she has already provided. It is next to impossible to ask for a gift without first making one yourself. Persuasion comes from the wellspring of generosity of the one who asks. Conviction generated by his or her own gift will set the context for the trustee's cultivation and solicitation of prospective donors.

Strategy no. 7: Recruit, orient, and train advancement-active trustees

The Committee on Trustees has the responsibility to assess the board's membership in terms of background, skills, diversity (ethnic, racial, gender, age, geography, social, and political), and needs. The committee reviews each prospective trustee with an eye to meeting the needs of the whole board and sustaining a balance in the board's representation. To perform this function, the committee reviews documentation on prospective trustees and conducts exploratory interviews to determine the suitability of a potential candidate. In cases where another body nominates trustees, the committee works closely with that body to talk about needs of the board and responsibilities of a board member.

The survey of CIC colleges found that board size averages 30 for responding institutions, including an average of seven women and two minority persons on each board. (At black colleges, board members who are not African-American are considered to be "minority.") Thirty-seven percent of the board members are alumni of the institution they serve.

Table 5-2 outlines the occupations of the board members of the CIC colleges. The high percentage of business executives (slightly more than half) undoubtedly reflects the importance of the advancement and financial functions of the board. The category "Others" includes community leaders, farmers, homemakers, hospital administrators, and communications personnel.

Once a person has been elected to the board, the committee should provide oversight for orientation of the new trustee and encourage reflection about what he or she can accomplish during a term. In addition, the committee should provide the structure for evaluation of all trustees.

Table 5-2: Trustees' Occupations (Percent)

Business	50.1
Clergy	15.2
Education	10.9
Lawyers	7.4
Doctors	3.8
Others	12.5

Through effective recruitment, orientation, and training, the Committee on Trustees determines the nature of the board. The selection and development of a board of trustees defines the horizon of the college and determines—at least in part—its capacity to realize its goals and mission, to raise adequate resources, to interpret the college, and to set policy. A quality board that understands its role in advancement begins with selection, orientation, and evaluation of trustees. To do this task effectively, the Committee on Trustees must understand the mission and advancement needs of the college.

The importance of this committee lies in the nature of the partnership it facilitates between the president, committee members, and the board chair. Trustees in partnership with the president and board chair are in positions to reflect on board development. This also protects the president from a situation where he or she might be seen as manipulating the board and its development. This partnership is essential for healthy growth in any board.

The chair of the Juniata Committee on Trustees developed a job description, which the committee has found useful in letting prospective trustees know what is involved in board service.

Job Description for Juniata College Trustee

Compensation: Unlimited personal satisfaction, good fellowship, and tax relief.

Duties: It will be necessary for the trustee to become familiar with and committed to the major responsibilities of the governing board, which are as follows:

- To select, appoint, and support the President and evaluate his or her performance.
- In conjunction with the President, to define the mission, approve strategic plans and the general educational program.
- To prudently manage the College's financial affairs, at the same time

preserving its institutional independence and promoting its public image.

- To both serve as a Court of Appeal and assess its own performance.

The trustee will be expected to support the institution's fund-raising efforts through personal giving in accordance with his or her means (both through annual fund and capital drives) and to share in the solicitation of others.

A new trustee will need to devote time to learn how Juniata functions and to understand its uniqueness, strengths, and needs relative to its place in liberal education. Having done so, the trustee will be required to prepare for, regularly attend, and actively participate in board meetings and committee assignments. Typically, a trustee serves on more than one committee; these assignments may be rotated according to need and, in time, the trustee may be asked to chair one of these committees.

The trustee is expected to vote according to his or her individual conviction, to challenge the judgment of others when it is felt necessary, yet to support the majority decision of the board and work with fellow board members in a spirit of cooperation. Along this line, the trustee should avoid acting as a spokesperson for the entire board unless he or she is specifically so authorized.

More generally, the trustee should understand the primary role of the board is as a policy-making body and should accept and abide by legal and fiscal board responsibilities as specified by the institutional charter, bylaws, statutes, and regulations.

Lastly, the trustee should make judgments always on the basis of what is best for Juniata College as a whole and for the advancement of education.

From the beginning, the president and board chair should review with the prospective trustee the character of the institution and its mission. They should share the mission statement and talk about it with the candidate. Without an understanding of the college's purpose and history, the prospective trustee is unlikely to develop ownership in the institution and to understand what it is about. I urge trustee candidates who do not already know the college to visit the campus before they make the commitment to become a trustee. I also send each candidate a history of the college.

In the first visit, the president and board chair should make sure that the prospective trustee understands the requirements for support of the college. Peter Drucker cites David Hubbard, president of Fuller Theological Seminary, as a foremost example of a president who has created an effective board. Hubbard

tells new trustees, "We expect you to give proportionately of your means and in your giving, and to assign a high priority to this institution. Your local church and perhaps one other institution can be as important as Fuller, but we don't want Fuller to be lower than third, and we would prefer Fuller to be second behind the commitment to the local church."¹⁵

If a college is not a priority with the trustee's pocketbook, it is unlikely to be a priority for his or her time and talent. Where your treasure is, there will your heart be also. Commitment to giving is not a peripheral issue. It is central to the role of the trustee. This does not mean that every trustee needs to be a major donor, but everyone must be a proportional giver.

At the beginning, the president or board chair should review with the prospective trustee expectations about annual giving as well as capital gift support. He or she must make it clear that it's not only the gift that matters, but also the trustee's ability and inclination to connect the institution with other people who can advance the college. These early conversations should lay things out so clearly that there are no surprises. When the chair of the annual fund calls or when the chair of the campaign solicits for a key gift, the trustee is prepared to respond. Both sides must be clear about their expectations. There is no such thing as an honorary member of the board of trustees.

The trustee should also promote the college whenever he or she speaks about the college with a prospective student, a teacher, a donor, or an educator. Trustees will not all perform at the same level, but all have the same responsibility to promote the college.

It is important to have the new trustee up and running at the first board meeting. "The old-style trustee, one who was chosen fortuitously and permitted to sit idle for a year while learning the ropes, is no longer acceptable. It is a time when expectation and preparation will make or break a trustee—and the institution."¹⁶ This requires a thorough orientation program. In 1990 the legislature of Oklahoma passed a law requiring all new higher education board members to receive 15 clock hours of education in orientation sessions on the campuses where they will be serving.¹⁷

In small colleges, orientation sets the tone for service. Just as in the recruiting process, the conversation begins with the mission statement, so also in the first orientation session, attention should be given to the mission, goals, and history of the college.

John L. Zwingle defines three pitfalls that threaten an effective trusteeship. The trustee fails to:

- understand the rationale of the board;
- understand the distinctive nature of academic institutions;
- distinguish between board policy and administrative functions.¹⁸

It is in the last area where it is essential that trustees in the advancement function understand that their role is larger than policy. They are expected to talk with prospective students, give of their own resources, ask others for resources, and interpret the college. These are all functions related to development staff, to the president, to admission counselors. More than in any other area of college life, this requires a clear definition of staff roles and trustee roles. The relationship between the trustee chair of the annual support fund and the staff member for the annual support fund is different from that between the chair of the Academic

Affairs Committee and the academic dean. In the former, there is a working relationship, a partnership. Solicitation of a donor and development of strategies for the fund are shared tasks. In the latter relationship, the trustee will be asked for policy review alone. These different relationships need to be defined in the orientation session.

During the orientation, the chair of the board should review the expectation for current fund gifts and capital gifts. The chair or a representative from the Committee on Trustees can make a far more effective presentation than any staff member. Advancement-related functions should be a major component of any board orientation.

Strategy no. 8: Evaluate trustee advancement effectiveness frequently

In the survey of CIC colleges, 85 percent of the respondents say that their trustees are not adequately trained in fund raising. The questionnaire probes four aspects of trustee involvement in advancement by asking, "Please fill in the number that indicates most closely the level of your satisfaction—'1' if you are very satisfied, ranging to '6' if you are very dissatisfied." Table 5-3 shows the results.

The purpose of governing boards is to set policy. Here there is a high level of satisfaction. Seventy-eight percent reply that they are slightly satisfied to very satisfied. Only 3 percent express great dissatisfaction, while 19 percent say they are dissatisfied or slightly dissatisfied. Boards are prepared to work with policy decisions and appear to function well in this role.

Table 5-3: Satisfaction with Trustees (Percent)

	Assisting admissions	Deciding fund-raising policy	Making financial contributions	Soliciting new donors
Very satisfied	7	22	8	6
Satisfied	15	29	22	9
Slightly satisfied	35	27	35	33
Slightly dissatisfied	21	11	17	24
Dissatisfied	16	8	11	19
Very dissatisfied	6	3	6	1

When we move to fund raising itself, the level of satisfaction decreases significantly. The area of greatest dissatisfaction is in soliciting new donors (only 15 percent of the CIC respondents are satisfied or very satisfied) and in recruiting students (only 22 percent are satisfied or very satisfied). Only 30 percent are

satisfied or very satisfied with trustee willingness to give. What is most startling is the percentage of those who express slight dissatisfaction or slight satisfaction: 57 percent for soliciting new donors, 56 percent for assisting in admissions, and 52 percent for making contributions. These are most distressing percentages, but they should not come as a surprise. John Pocock states, "There is a problem at the heart of board structures. Many boards aren't designed and staffed with the task of development or advancement in mind. Boards tend to lack trustees talented in fund raising. Trustees are not educated in the process of fund raising and might be unwilling to learn this important skill."¹⁹

The data suggest a tension between the administrators' expectations and board performance in the area of advancement for the small college. What creates this tension? The answer is the high expectations on the part of the president and the advancement staff. At the same time, the CIC respondents to the questionnaire indicate that they recognize that it is moderately difficult to recruit good trustees for advancement functions. It is not clear how training for this function is carried on within the institution. The result is frustration on the part of the administration.

I believe a second reason, not indicated in the questionnaire, is the difference in the relationship between staff and trustees in this area. Trustees perform better at the policy level (Table 5-3) than at the action level. Shouldn't we expect this when we spend much of our time in orientation sessions exploring the difference between policy and management? When we come to academic and student affairs, we say, "Don't meddle in the day-to-day." When the president and the staff come to advancement, we say, "Now is the time to get your hands dirty." Administration may be sending two quite different messages. In the area of advancement, a change in trustee behavior and activity is required for success—and this will come only when the trustee role is clarified.

A third reason lies in the interdependence of trustees and staff in this area. The chief executive and the advancement staff must rely on board members in a direct way to get the job done. That requires a different set of skills and training than does policy formation. Staff may wish to push ahead, but they must await board involvement to complete the task.

Evaluation is both a beginning and ending point. Boards must continually evaluate whether they have the right mix of individuals. Advancement is larger than the wealth index of a particular board member. A range of talent is required for the board to fulfill its functions. Evaluation should lead to enhancing performance of board members already in place. Special seminars or the orientation session must spend more time in assisting trustees in the "doing" of advancement. At the same time, evaluation should bring trustees with special gifts for advancement to the board. Expertise must be located within the board.

The Association of Governing Boards has developed a Self-Study Guideline ("Self-Study for Governing Boards of Independent Colleges and Universities," October 1986), which assists boards in evaluating their present performance and provides an audit of board expertise. A plan for board development can emerge from this evaluation.

The Committee on Trustees should help individual members assess their own performance as their terms come up for renewal. This process can lead to new investment by the board member as well as an evaluation of how he or she can best serve the board in the new term. Such evaluation leads to better utilization

of a board member's strength and enlists the trustee in deeper ownership in the life of the college. The Committee on Trustees should encourage development that models what we expect from students and faculty—a continuing learning and growing experience.

Conclusion

The board's first responsibility is to focus on the mission of the institution; second, to structure itself to help meet the mission; third, to generate resources to carry out the mission; and, fourth, to continue to develop itself to meet an ever-changing horizon. The board then becomes a model for all its constituencies and sets the tone for the institution. Advancement that limits itself to fund raising and ignores the larger issues of mission, market, and ownership will inhibit long-term development of the small college. "The 'Advancement' function is only as good as its leadership. Leadership is the board. The chief executive and the development office are critical to successful operation, but the ultimate responsibility for success or failure lies with the board."²⁰

Notes

¹ Robert Gale, "The Role of the Governing Board," in *The President and Fund Raising*, ed. James L. Fisher and Gary H. Quehl (New York: Macmillan, 1989), 102.

² Walter C. Hobbs, "Positioning a Small College" in *Advancing the Small College*, ed. Wesley K. Willmer, New Directions for Institutional Advancement no. 13 (San Francisco: Jossey-Bass, 1981), 21.

³ Connie Growther, "Building a Better Board," *CURRENTS*, November/December 1989, 22f.

⁴ Richard Chait, "Keeping the Academic Machine Well-Oiled," *AGB Reports*, July/August 1988, 19.

⁵ Mark Hurtubise and Laurence A. Bishop, "Who are 'Successful' Fund-Raising Presidents?" *AGB Reports*, March/April 1991, 33.

⁶ Jerold Panas, *Mega Gifts* (Chicago: Pluribus Press, 1984), 134.

⁷ William A. Kinnison, "The Development Committee," in *Making Trusteeship Work*, ed. Richard T. Ingram (Washington, DC: Association of Governing Boards, 1988), 89ff.

⁸ Leonard J. Moisan, "Because That's Where the Money Is," *AGB Reports*, September/October 1992, 11.

⁹ Gale, "The Role of the Governing Board," 106.

¹⁰ Michael Radock, *The Fund Raising Role* (Washington, DC: Association of Governing Boards, 1983), 3.

¹¹ Arthur C. Frantzreh, ed., *Trustees' Role in Advancement*, New Directions for Advancement no. 14 (San Francisco: Jossey-Bass, 1981), 30.

¹² C. Holger Hansen, "The Role of Trustees," 177.

¹³ Quoted in Panas, *Mega Gifts*, 22.

¹⁴ John W. Pocock, "Fund Raising: The Board's Role," *AGB Reports*, July/August

1985, 40-42.

¹⁵ Peter F. Drucker, *Managing the Non-Profit Organization* (New York: Harper Collins, 1990), 173.

¹⁶ Hans Brisch, "Prerequisite to Trusteeship," *AGB Reports*, May/June 1991, 11.

¹⁷ *Ibid.*, 15.

¹⁸ John W. Zwingle, *Effective Trusteeship: Guidelines for Board Members* (Washington, DC: Association of Governing Boards, 1984), 12.

¹⁹ Pocock, "Fund Raising," 41.

²⁰ Fisher Howe, *The Board Member's Guide to Fund Raising* (San Francisco: Jossey-Bass, 1991), 125.

About the Author

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From 1977-1986 Neff was General Secretary of the Church of the Brethren and was active in ecumenical life, serving the Governing Board and Executive Committees of the National Council of Churches for 1979-1986 (Second Vice-President, 1985-86) and chairing the Presidential Panel (1982-84) which redesigned the organization and resourcing of the Council. He served on the Central Committee of the World Council of Churches from 1984-1991.

Neff taught at Bethany Theological Seminary from 1965-1977 (Chair of the Old Testament Faculty, Southside Cluster of Theological Schools, Chicago, Illinois, from 1973 to 1977). He has published in *Biblical Research*, *Journal of Ecumenical Studies*, *Journal of the Society of Old Testament*, and *Messenger*, a Church of the Brethren publication.

A member of Omicron Delta Kappa, Neff was appointed a Danforth Fellow in 1958. He completed his B.D., M.A., and Ph.D. at Yale University.

Effective Public Relations and Communications Strategies

Carol P. Halstead

Small colleges face many unique public relations challenges. They operate in a competitive environment where size often attracts attention and bigger is often equated with better. They must raise money in the face of fierce competition from public universities and a myriad of other nonprofits. And they must compete for students in a buyer's market where reputation is a critical factor in student choice.

In addition, small colleges—compared to larger institutions—are limited in the ways they can generate awareness and enhance their image. They have little “hot” news to report, and they could wait years to announce an important research breakthrough. Their faculty's first priority is most often teaching, not becoming a “star professor” on the lecture circuit. And small college sports teams almost never appear on network TV.

If these circumstances weren't challenging enough, there are now two relatively new circumstances facing small college public relations directors. The first is the rapidly escalating cost of higher education, bringing unprecedented budget cuts at all types of colleges and universities. The second is the unparalleled sense of urgency fueled by eroding public trust of higher education. In the last few years, many colleges and universities have been beset with one crisis or controversial situation after another. While small colleges have been exempt from some of the issues, such as major league sports scandals, few institutions can escape public concern over spiraling tuition, racial disturbances on campus, sexual harassment issues, campus crime, and drinking and drugs.

To be sure, conducting an effective small college public relations program in the 1990s is no small task. The job of public relations, as defined by Cutlip and Center, is the “promotion of rapport and goodwill between a person, firm, or institution and other persons, special publics, or the community at large through the distribution of interpretative material, the development of neighborly interchanges, and the assessment of public reaction.”¹

And what does this mean at a small college? A typical day in the life of a small college director of public relations might find the director representing the college at a meeting of the Chamber of Commerce at 7 a.m., serving as proofreader and production manager to prepare a development brochure, reviewing printer's proofs for an admissions publication, researching media inquiries from the local paper for a story, coordinating the mailing of the alumni magazine, selecting photos for a campus newsletter, and researching and writing an article on international programs. This is before lunch.

After lunch on a summer Friday when many colleagues at larger institutions are taking the afternoon off, our small college public relations director puts on more hats—writer, editor, publications designer, secretary, tour guide, community representative, event host, and manager of business negotiations for the department. How then should public relations managers juggle all these concerns?

Given these realities, what roles are small college public relations officers being asked to play, how can this function be managed and organized to achieve success in these difficult times, and what strategies can public relations professionals use to get the job done when there are never enough hours in a day?

This chapter offers public relations professionals a series of strategies to guide them through this vast array of responsibilities and tasks. The 16 steps outlined below will vary depending on the size of the budget and the staff, the goals and management style of the institution, and the historical and cultural environment in which the institution operates, but these steps are basic building blocks for developing and implementing a successful public relations program at a small college. These strategies are based on a review of the institutional relations literature, the findings of the FY 1990-91 survey of the members of the Council of Independent Colleges (CIC), and the author's years of professional experience consulting with small college advancement offices.

Step 1: Obtain top-down commitment and financial resources

The critical first step to success in public relations is obtaining the commitment of the president and vice president for advancement and securing the resources to do the job. In a climate of increasing public scrutiny, it is particularly important for the public relations department to see itself and to be seen as an integral part of the university team. Ideally, the communications plan and program should flow from the strategic goals of the institution set by the president and the trustees. And the president and the senior staff should understand and buy into the public relations plan. The plan is a tool for setting and reinforcing priorities. Once the plan has been adopted, top institutional leaders have to be willing to back up the communications staff when they say "no" to a project or program that would deflect the plan.

The increasing importance of public relations in the eyes of college presidents is supported by the findings of a survey conducted by the Council for Advancement and Support of Education (CASE) in 1992. According to the "Survey of College and University Presidents' Perceptions of the Public Relations Function," 98 percent of the respondents said public relations was a major part of what they do, and 90 percent agreed that "public relations considerations should be a component

of institutional policy-making."²

While interest and concern about public relations is high, this interest does not always manifest itself in additional resources. The 1990-91 survey of CIC colleges shows that budgets to support public relations activities at small colleges have generally increased since the previous survey in fiscal year 1983-84.³ Table 6-1 shows the ranges and the mean budget allocations for public relations at the colleges responding to the 1990-91 survey. The average of the means for all respondents is \$153,477. The table also shows that there is a great diversity within enrollment groups in the range of monies being expended. (See Chapter 9).

Table 6-1: Institutional Relations Expenditures by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 3,500	\$ 253,489	\$ 85,758
501-750	18,961	170,000	76,678
751-1,000	4,164	297,862	116,285
1,001-1,250	22,000	302,000	128,371
1,251-1,500	20,000	463,409	182,224
1,501-2,000	17,923	450,000	185,963
2,001+	45,100	1,255,000	299,059

Step 2: Organize and build the staff

The public relations function at small colleges is typically a part of the institutional advancement office. The director of public relations usually reports to the vice president for advancement. Titles vary considerably from director or vice president of college relations to public information officer to director of the news bureau to everything in between.

At full staff, most small colleges have between one and three professionals. These people can be arranged in a multitude of ways. A typical organizational pattern includes a director who is responsible for the overall planning, direction, and supervision of the communications program as well as the execution of a myriad of functions; a director of publications/photographer; and, in some cases, an assistant director who handles the news bureau. A few institutions have one or two additional staff and some have a full complement of two to five production people, but rarely does one find the 12 to 25 people that often populate the public relations offices of larger institutions.

In its *Institutional Advancement Professional Area Guide*, published in 1992, CASE provides an overview of the functions of public relations professionals.

According to the *Guide*, "Campus institutional relations or public relations professionals work in the areas of broadcast and print media relations, special events, speech writing, electronic media, internal communications, community relations, and marketing."⁴

The *Guide* also notes:

During the past decade, the role of the public relations office has expanded greatly. Institutions seeking a regional and national identity rely heavily on the talents and expertise of the institutional relations professional in obtaining coverage in regional and national news media; conducting market research, measuring public opinion, and formulating appropriate action plans based on the results; attracting students from across the country; and establishing the institution as a positive force to a broad and diverse audience.⁵

Hiring quality people is critical to the success of the public relations effort. Many qualities are important, and the skills needed vary depending on the scope of the public relations function and the resources of the institution. There are several basic skills and qualities necessary for effectiveness, however. These include:

- adaptability and flexibility;
- strong oral and written communications skills;
- the ability to work with others effectively;
- high energy and perseverance;
- a promotional or marketing orientation;
- a news sense and the ability to interpret and translate "educationese" into English.

*Table 6-2: Institutional Relations Administrative Staff
by Enrollment Size (FTE)*

Enrollment	Range		Mean
	Low	High	
Up to 500	0.5	3.0	1.68
501-750	0.5	6.0	1.52
751-1,000	0.6	6.0	1.83
1,001-1,250	0.5	3.5	2.03
1,251-1,500	1.0	5.0	2.45
1,501-2,000	1.0	7.0	2.67
2,001+	1.0	10.0	2.19

CASE's *Guide* lists the ideal knowledge, skills, and philosophies needed by entry-, mid-, and senior-level professionals; outlines CASE's educational programs

and publications; and lists research and information services available. This is a very useful resource for anyone interested in a career in any of the areas of institutional advancement—fund raising, government relations, institutional relations, periodicals, publications, or student recruitment.⁶

Administrative staff. Tables 6-2 and 6-3 show the high and low range and mean staffing patterns for administrative and clerical staff by enrollment at the CIC colleges surveyed. Overall, the means for administrative staff haven't changed much since the FY 1983-84 survey. Again, what's interesting is the gap between the low and high ranges, especially at institutions with 1,500 or more students (Table 6-2). The range for all responding institutions in the 1990-91 survey is from 0.5 to 10.0 FTE, and the average of the means is 2.05.

Clerical staff. Flexibility and juggling many balls in the air at once is the name of the game for clerical staff as well. The size of clerical staffs is virtually the same as it was in 1983-84, with a range of zero to six (Table 6-3). The average of the means for all responding colleges is 1.01.

*Table 6-3: Institutional Relations Clerical/Secretarial Staff
by Enrollment Size (FTE)*

Enrollment	Range		Mean
	Low	High	
500	0.5	1.5	1.0
501-750	0.5	2.0	0.72
751-1,000	0.0	2.5	0.9
1,001-1,250	0.25	2.0	0.89
1,251-1,500	0.5	6.0	1.15
1,501-2,000	0.5	4.5	1.31
2,001+	0.5	5.0	1.13

Step 3: Create ways to maximize resources

Many small colleges, in their typical entrepreneurial way, employ a variety of means to maximize both staff and financial resources. While opportunities for implementing some of these techniques will vary considerably by institution, adding staff or financial resources in creative ways can often mean the difference between an office that is continually playing catch-up and one that is directing the communications program according to predetermined priorities.

Some of the ways small colleges can leverage their impact and outreach without adding substantially to the overall budget include the following:

- *Hire work-study students and interns.* Many, if not most, small colleges use

students as part of the public relations team. As Cynthia Cooper, director of public relations at Keuka College, who typically employs nine students at a time at minimum wage, said in an interview, "I seriously could not operate this office without work-study students. They not only augment our staff, but they gain an incredible learning experience." While work-study students are part-time, Keuka, which requires a field experience of all its students, also uses students full-time during the January term and in the summer.⁷

- *Use consultants, freelancers, and independent contractors.* Most public relations offices hire consultants, freelancers, or independent contractors at one time or another to do specific projects. Having additional staff in this way has several benefits: It gives the office flexibility in staff; contractors work as much or as little as needed; they save the college 20 percent to 30 percent in benefit costs; they add their special expertise to the staff; and they can give the operation a head start.

- *Establish an advisory board of alumni and friends.* One way to acquire top-level assistance at minimum cost is to set up an advisory board of alumni who are prominent in communications, media, and marketing circles. Many of the larger institutions, and some of the smaller, have taken advantage of this wealth of experience to build contacts, open doors, generate fresh ideas, and tell the institution's story to donors, potential students, parents, alumni, and other key audiences. In the FY 1990-91 survey of CIC colleges, 68 respondents (28 percent) said they had a public relations advisory group of people outside the institution.

- *Recruit volunteers.* The use of volunteers in alumni relations and fund raising is *de rigueur*, but much less common in public relations. Volunteers can provide assistance on a variety of specific projects, particularly in helping organize and handle some of the details related to special events, cultural events on campus, and anniversaries or other celebrations.

- *Use outside organizations and networks.* In an era of budget cutbacks and limited resources, many colleges have developed relationships with other organizations as a means of extending their reach and enhancing their communications efforts. Distributing information about the college through other organizations also adds the element of third-party endorsement. For example, a college might piggyback information about its adult education programs onto Chamber of Commerce mailings or send materials prepared by the political science professor to high school teachers planning a unit on the U.S. election process.

- *Offer sabbatical opportunities.* Small college public relations offices might offer public relations professionals or journalists an opportunity to spend their sabbatical leave on campus doing special projects for the college. Properly advertised projects or writing assignments might attract a number of people who could contribute significantly to the college. While finding a match may be difficult, the results would be well worth the effort.

- *Use technology.* Computers, modems, fax boards, cellular phones, and other technologies offer another means of maximizing resources. Many college public relations offices are saving time by tying into word-processing programs that are compatible with those of other faculty and staff, doing their own desktop publishing, computerizing specialized media lists, and gathering data for hometown releases from the data files in the registrar's computer. In "Tales from the Front of the Computer Screen," Marcelle Toor reports on a survey of 63 campus publications

directors and offers advice on ways to minimize or avoid problems of computerizing.⁸

Step 4: Create a strategic communications plan

Probably the most important step the college public relations office can take is to develop a strategic communications plan. This is the public relations office's most important tool for setting and reinforcing priorities and for winning the respect and support of the president and senior staff. Yet only 39 percent of the CIC colleges in the 1990-91 survey have a written, budgeted plan to improve the college's image.

There are many elements that could go into a strategic public relations plan. Bonnet lists five steps for developing a strategic plan.⁹ Glancy breaks these down further into 12 steps.¹⁰ Whether five or 12, the elements of a plan are fairly consistent and, more importantly, the process of developing the plan is critical to the success of the public relations effort.

Most plans will include the following:

- a statement of public relations goals and objectives;
- an outline of priorities;
- a list of key publics and behaviors the institution wants to encourage;
- key messages and themes;
- strategies and tactics to use in communicating with key audiences; and
- action plans, timetables, and schedules for all staff involved in carrying out the plan.

The next several sections offer advice on how the public relations office can organize effectively and then develop an overall public relations plan.

Step 5: Build a campus-based communications team

One of the most effective ways to develop a plan, win institutional support, and, at the same time, maximize resources, is to get key people in the college involved in the planning process itself. Says Jackson, "You want your board and your CEO to be part of your public relations effort, and you want their support to trickle downward to deans, department chairs, other administrators, even student leaders. You should see evidence that everyone on your campus takes part in relationship-building efforts."¹¹ Here are some guidelines for organizing the effort:

- *Share ownership, but designate one leader.* While the success of the plan is based on collegiality, the senior public relations officer must oversee its development, implementation, and evaluation. Otherwise, like so many great ideas, the strategic communications plan will fade away.

- *Assemble a team.* While the members of the team will vary from institution to institution, Halstead and Ross recommend that representatives from each of the resource-generating departments of the college be included.¹² This would include representatives from personnel, student services and academic affairs, admissions, athletics, continuing education, development and alumni relations, legislative relations, and sponsored research. Public relations staff should include

the director of public relations and the directors of community relations, media relations, publications, and special events. More likely than not, one person will be wearing most of these hats at a small college.

- *Organize the team for action.* In advance of the first meeting, each member of the team should be provided with a copy of the institution's strategic or long-range plan, if there is one, or institutional goals and mission statement if there is no formal plan. For the meeting, resource managers should identify their top three or four departmental objectives for the year, list audiences they wish to reach, and outline the kinds of communications that seem to work best with each audience. In sharing this with the group, each manager includes his or her thoughts on the most effective communications tactics for influencing key audiences.

- *Draft and revise the plan.* Out of the first one or two meetings of the communications task force, a plan of action should materialize. Communicators should analyze the needs of each resource area, draft an annual schedule of activities for each department represented in the meeting, and meet with that department to fine-tune the plan. Then, the chair of the task force should bring the original group together and present the plan. Resource managers should have additional input. After the meeting, the plan should be put in final form and presented to the president and senior academic officers.

Step 6: Set realistic goals and objectives

Setting clear goals and specific objectives is critical to the success of any plan. Goals and objectives are often confused with one another, and it is important to distinguish between the two.

Goals. Goals are broad, general statements of what the public relations office is there to do. Public relations goals typically support the goals of the institution or of specific departments, such as building a positive image for the college, supporting alumni relations, strengthening community relations, or increasing the quality of the students enrolling in the college.

In the survey of CIC colleges, respondents were asked to rate the importance of 10 public relations goals on a scale of 1 (great importance) to 6 (little importance). Table 6-4 includes the results. Those institutions that rated the 10 goals considered them all relatively important; averages for responses mostly clustered between 1 and 4. The four highest objectives were:

- attracting prospective students (1.31);
- building and holding goodwill for the institution (1.55);
- adding to the college's academic reputation (1.67); and
- raising funds (1.79).

Objectives. Whatever the college's goals, each is likely to be supported by several objectives. Objectives should be specific, measurable, and achievable, such as:

- to assist the admissions office in recruiting prospective students interested in science by writing, producing, and disseminating a student newsletter;
- to build positive community support by working with one faculty member per month on writing and placing an opinion piece in the local newspaper.

Table 6-4: Public Relations Goals

	Great 1	2	3	4	5	Little 6	Average
Attract prospective students	189	20	15	3	3	0	1.31
Add to college's academic reputation	134	62	18	11	3	2	1.67
Report news	65	61	68	26	4	3	2.35
Raise funds	133	50	25	9	10	3	1.79
Provide a community service	23	54	80	33	19	14	3.06
Enhance favorable relations with faculty	32	57	69	31	21	11	2.93
Promote favorable relations with community	83	82	47	10	4	2	2.02
Educate the public about higher education	17	44	73	38	32	17	3.34
Show the importance of religion in education	25	50	44	28	28	4	2.98
Build and hold goodwill for the institution	151	56	12	5	3	4	1.55

While it is difficult to be as precise in listing objectives as in listing goals, spelling out specific objectives will help the public relations office determine which constituency or target audience the college is trying to influence and what results are desired.

Step 7: Establish priorities

Probably the most difficult job of all is setting priorities—deciding what to do and what not to do. In the final analysis, the institution's strategic goals should dictate its priorities. Barbalich talks about "supertargeting," ranking audiences according to their importance to the campus and according to the probability of their acting on the messages sent.¹³ Hale advises focusing on one concept: "If you have limited resources, decide where you really want to spend them—and if necessary, take something off the bottom of your list. That's the key."¹⁴

As Murphy notes, priorities will vary considerably from one institution to another, depending on internal and external circumstances and on the institution's long-term goals.¹⁵ One college may make it a priority to bring its office into the new age of technology and devote a large share of its resources to meeting internal objectives. Another institution might be driven by external pressures to raise its visibility among donors and alumni in support of a capital campaign, while a

third may devote its resources to supporting the student recruitment efforts of the admissions office.

Step 8: Identify publics

A small college has many publics and many different audiences for its public relations activities. Target audiences could include primary publics (those who are directly affected by the planned activities of the public relations office) and intervening publics (those who stand between the college and the primary public). Prospective students and funding sources are primary publics; guidance counselors and influential alumni are intervening publics.

The public relations office needs to focus on attitudes and behaviors. Knowing what key publics already think about the institution—their attitudes and opinions—is an important step in influencing behavior. But in the long run, the college public relations director should be thinking in terms of the desired behavior the college wishes to encourage. As Jackson says, "Public relations is pointless unless it actually gets people to do something."¹⁶ Here are some examples of supportive attitudes and behaviors a college would wish to encourage:

- The media seek the college's faculty as commentators on current events and issues.
- Alumni, enrolled students, parents, and faculty take pride in the college and are enthusiastic supporters.
- Local media call the public relations office for information, angles, and spokespersons on national trends and issues in education.
- Members of the local community support the college and positively influence potential students, parents, and donors.

Step 9: Research the attitudes and opinions of key audiences

Market research is becoming an important part of the public relations function as institutions have come to realize that communications that are responsive to the attitudes, interests, and information needs of key audiences are likely to be more effective than communications that are not. Topor defines market research conducted by educational institutions as "any kind of research that gives you information about the current state of your particular market and offers guidance in improving your position in that market."¹⁷

Since market research often requires significant resources, the public relations office should first look at "secondary" information collected by admissions, development, institutional research, and the registrar's office. Secondary research—research already available but conducted for another purpose—can often give the public relations office valuable information about key publics and provide the parameters for any additional research that might be conducted.

If resources are available to conduct primary research, most college relations offices are likely to be engaged in "image" research. Image research can have a variety of goals:

- developing communication strategies to reinforce or alter an existing image;

- understanding how the institution is currently perceived by target audience(s);
- testing messages;
- determining what appeals are most effective in attracting contributions;
- determining attitudes and opinions of alumni;
- determining readers' reaction and responses to newsletters and magazines.¹⁸

Readership studies are among the most common kinds of research undertaken by public relations offices and, ideally, should precede any changes in format, content, and frequency of a college publication. In the survey of CIC colleges, 56 respondents (24 percent) had conducted a readership survey of their primary publication in the past three years.

Whatever the goal of the research, the college relations office needs to follow these three rules of research:

- Be sure there is an institutional commitment to conducting the research and, more importantly, to using the results.
- In designing the research, be careful to define clearly what the college needs to know, from what specific audiences, and for what specific purposes.
- Be sure that whatever technique is used—mail survey, telephone interviews, focus groups, or personal in-depth interviews—the research is carefully done to achieve maximum usable results.

Step 10: Determine key messages and themes

One of the most difficult challenges of the public relations office is to develop the content of communications—key messages and themes that should occur over and over in a public relations program to create the institutional image. Key messages and themes should be derived from the college's strategic or long-range plan or mission statement, which usually outlines the strengths, or key attributes, the college has to offer.

The questionnaire sent to CIC colleges in the FY 1990-91 survey asked respondents to determine the extent of agreement to the statement: "I think my institution presents clear and consistent images of itself among its various publics." Respondents tended to agree. But on the next statement, "I think that our image should be modified to more adequately satisfy the needs of our clientele," they came out somewhere in the middle on the scale between "strongly agree" and "strongly disagree." About half of the respondents were unsure about or dissatisfied with the image of the institution and thought it should be modified to reflect the needs of the college's key constituencies.

When asked who is responsible for modifying the mission, nearly half said this task was the responsibility of the president; another 21 percent felt it was the advancement office's job. About 10 percent pointed their finger at the board of trustees, and still others felt it was the responsibility of several of these people combined.

These survey results reflect the classic problem that most colleges face when trying to arrive at a shared institutional vision or a set of "positioning" themes—whether to march to the drummer of institutional mission or to respond to market needs. The answer lies somewhere in between. As Kristin Persson, vice president of advancement at Upsala College, said in an interview:

The institution needs to develop a handful of messages that drive all phases of its communications and marketing. They need to be broad enough so they can be customized for each audience but specific enough to capture the distinctiveness of the institution. And these messages need to be developed in a collaborative effort in order to achieve a balance between being a market-driven versus a mission-driven institution.¹⁹

If an institution doesn't have a clear set of image statements, or if it's about to begin a strategic planning process, the best way to develop messages and themes is through a collaborative process. George Dehne, an admissions marketing consultant and president of George Dehne & Associates, cites the benefits of collaboration in his article, "Building a Theme Team." "Bringing together administrative and faculty leaders, students, and trustees results not only in information sharing and an improved institutional position, but also in more institutional confidence and a shared vision."²⁰

Feature vs. Benefit Messages. In developing messages, themes, and slogans, college public relations people should differentiate between two important kinds of messages: messages about benefits to the audience, the "what's in it for me?" messages; and messages that focus on features of the college—its programs, strengths, uniqueness.

The survey of CIC colleges asked respondents to rank eight "image elements" or features on a scale of 1 to 8, with 1 being the most important and 8 the least. The results are as follows, in descending order of importance:

- quality academics, 1.57;
- teaching quality, 2.51;
- character building, 3.76;
- service to society, 4.38;
- spiritual commitment, 4.75;
- fiscal stability, 4.79;
- prestige occupations of alumni, 6.32;
- research activity, 7.63.

These features are touted in whole or in part in most small college admissions brochures. But the benefits to an audience, the "what's in it for me" messages, depend on the audience's particular relationship to the institution. Dehne points out in his article "How Small Colleges Can Thrive in the '90's," that the real trick is to give messages the "Why should I care?" test. People don't buy features; they buy the benefits derived from the features.²¹ For example, to parents, a college's small size might mean the benefit of safety and security for their student; for students, small size could mean personal attention; and legislators and funding sources might expect a small institution to be responsive and innovative.

Translating themes into stories. The next step for the public relations staff is to translate the themes and messages the college wants to communicate into stories. Here again, it's important to keep the strategic plan in focus, lest the public relations program respond only to the squeaky wheel. What gets done is often whatever is of interest to someone on the staff, or has news value (which varies greatly between equally important media such as the *Wall Street Journal* and the

local newspaper), or is politically imperative for internal reasons.

In translating themes and messages into stories, the public relations office has to look at programs, people, and activities that make the college distinctive. Says Dehne, "A distinction does not necessarily mean the program or activity is unique in the nation, but it should, at least, be an unusual variation, not found among competitors."²² The public relations staff must also look at the educational experience the college offers in the broader context of trends in higher education, current events, and national issues to determine how the institution is different, special, unique, first, only, or a leader.

For example, in its strategic plan, Wartburg College has outlined the distinctive characteristics of the education it seeks to deliver to its students, based on the institution's commitment to intellectual vitality, including leadership development, commitment to the arts, multicultural and global experiences, and a purposeful community of faith and values.²³

How can Wartburg translate these strengths into stories or other communications? Under the goal of promoting leadership development, for example, a media relations objective might be to improve the coverage given to Wartburg's leadership programs within the college's primary and secondary admissions markets.

Strategies might include:

- Each semester develop and place four regional stories reporting news and demonstrating the quality of Wartburg's faculty or academic program.
- Write and place an article by the dean on the value of learning leadership skills in today's job market.
- Write and distribute one backgrounder to national media on a handful of outstanding leadership programs around the country.

While these targets may not always be reached, the objectives are clear, and the staff is working toward achieving results.

Step 11: Use the right strategies and tactics at the right time

Deciding how to communicate with key audiences and matching the interests of the audience, the medium, and the college is one of the most important functions of the public relations staff. Here is where training and experience in media, communications, marketing, and the social sciences becomes important.

There are hundreds of options to consider: public media such as newspapers and TV; captive media such as advertising and direct mail; internal publications such as videos and publications; special events such as conferences and luncheons; and personal communications. Most research shows that the more personal the communication, the more effective it is likely to be. Most of the literature lists the commonly used means of communications in order of importance as follows:

1. one-to-one, face-to-face conversation;
2. small group discussions or meetings of five people or fewer;
3. speaking before a group where questions and dialogue are encouraged;
4. telephone conversation between two people;
5. handwritten, personal letter;
6. typewritten personal letter that clearly was not generated from a computer database or typed by an automatic machine;
7. computer-generated or word-processed "personal letter";

8. mass-produced, nonpersonal letter;
9. brochure or pamphlet sent out as a "direct mail" piece without a covering letter;
10. newsletters, magazines, tabloids, etc., developed and distributed by the institution;
11. news carried in newspapers, radio, television, magazines, etc.;
12. advertising in newspapers, radio, television, magazines, etc.;
13. other less effective forms of communication (billboards, skywriters, etc.).²¹

Most college public relations offices will use a combination of all of these techniques at one time or another. Given the cost of personal communications, however, most spend their time on "mass" media strategies that function primarily to generate awareness and interest in the college and to reinforce attitudes and opinions. The fun part of planning is trying to figure out which strategies will most effectively get the message across to the college's key audiences and galvanize them to act in the college's best interests.

Step 12: Develop action plans and schedule activities

The number of activities undertaken by the public relations office and the timing of different communications initiatives will be driven by a number of considerations: the college's internal calendar; the agenda and calendar of external audiences; and, of course, the resources available to do the job.

Almost every college has a master publications schedule that lays out writing and publication deadlines for all in-house newsletters and magazines. In addition, there are schedules for news releases and announcements related to the major events planned during the year from freshman orientation to commencement; schedules related to admissions visits and campus visits by prospective students; schedules related to development activities; and action steps related to the needs of various departments.

External audiences have their own schedules as well. For instance, what are the action points in the state legislature's calendar for considering appropriations? When do most of the college's prospective students make decisions to enroll? What is the schedule for the announcement of the new benefits program for faculty and staff? Are there times when media are particularly interested in higher education stories? How do all of these schedules overlap?

One effective way to develop action plans and sort through priorities is to list major activities by month and by audience. Doing this will suggest economies of scale: combining communications to meet the needs of more than one audience; hiring temporary staff during peak periods instead of increasing permanent staff; and, even, cutting down on the number of activities or communications when audiences are bombarded by more information than they can manage.

Step 13: Make internal communications and community relations a high priority

Many small colleges interested in increasing public awareness and building a regional or national reputation overlook the fact that this effort should begin at

home. Internal communications and community relations are critical strategies in an overall public relations program.

There's nothing that impresses potential students, warms the hearts of alumni, or wins the largesse of donors better than faculty, staff, students, and trustees who are proud, pleased, and properly prepared to promote the institution's strengths and successes. As Jackson says, "If the morale among your campus family and local residents isn't good, it's a dead giveaway. It shows that you really don't care about people, and all your efforts for student recruitment and fund-raising are pointless."²⁵

Thus, one of the first priorities of the public relations staff is to develop and carry out a program of "telling the story" on campus among faculty, staff, students, trustees, and others in the community who can help carry the institution's message. Such a program might include the following components:

- *Make "telling the story" a campuswide commitment.* Most small college faculty are so immersed in their own disciplines and dedicated to their own students that they don't see themselves as resources or experts for other constituencies. Faculty and staff need to see their role in the larger context, they need to be encouraged to adopt a larger perspective, and to identify and reach out to new and multiple audiences.

- *Publish news about faculty and staff (research grants, speeches, articles, awards, coverage attained, and so on).* Giving higher visibility and recognition to faculty and staff accomplishments within the college and in external communications efforts encourages pride among internal constituencies.

- *Merchandize the results of publicity to key audiences, including faculty and staff, trustees, alumni, students, and even community constituencies.* The clips colleges receive end up mostly on the bulletin board and in the files. It is a big job to use clips effectively, but if the results of public relations efforts aren't used to influence the impressions and attitudes of key constituencies, then institutions might as well not pay to clip them. The good clips should be sent to appropriate internal audiences; cut and pasted properly, they should be included with admissions letters, letters from the president to business and civic leaders, mailings from the alumni or development office, and pitches to the media. Used in this way, they can enhance credibility, attract attention, and give third-party endorsement.

- *Encourage faculty and staff to expand their participation and involvement in community affairs and regional and national associations.* Encourage them also to take an active role in developing presentations and writing articles about these activities.

- *Strengthen community ties by involving the community in the college and vice versa.* Whether a small college is active in its local community, is the local community, or exists in a large and competitive marketplace, good relations with the community are extremely important. Colleges can strengthen their ties with the community in a number of creative ways, such as sharing resources by offering cultural attractions, furnishing facilities, and providing services; or extending campus resources through publications, speakers, and exhibits. Public relations professionals can find a wealth of creative ways to cultivate community goodwill and support, such as organizing community-based advisory committees, encouraging involvement of retired faculty and alumni, and conducting economic impact studies.²⁶

Step 14: Use publications to reach target audiences

With the newspapers, magazines, and broadcast media all facing declining circulations and the impact of recessionary times, the chances of small colleges getting their stories into the media have become smaller and smaller. In his article, "The Shrinking News Hole," George Cole cites several reasons for this, including the loss of young readers, changes in public tastes, the drop in market penetration, and an advertising slump.²⁷ What this means for colleges is that controlled publications have become even more important tools in the 1990s. According to Arden and Whalen in *Your Guide to Effective Publications* (published by CASE in 1991), "The facts of life in the 1990s boil down to this: If an institution wants to prepare its own message, determine its format, and pick its audience, it cannot rely on the mass media. It must depend on printed publications to do this job."²⁸

A college's "publications" include a wide spectrum of materials, such as admissions publications, internal and external newsletters, alumni publications, development publications, department brochures, calendars, handbooks, fliers announcing events and cultural activities, reports, speeches, advertisements, directories, and special purpose brochures and fliers. Given the range and variety of publications the public relations office produces, it's not surprising that publications often represent the largest expenditure or that editorial deadlines, design meetings, photography shoots, and production schedules often dictate how staff time will be spent.

A well-planned publications program can make a big difference in shaping the institution's image. *Your Guide to Effective Publications*, which distills more than 70 years of experience of publications directors at large and small institutions, offers new professionals useful advice about organizing the office, editing and writing techniques, art, design, photography, and new technology.²⁹ In this handbook and other literature in the field, experts offer the following advice for developing and conducting a publications program:

- *Maintain control.* Most professionals agree that publications should be written and produced in one office rather than a variety of offices throughout the campus. Without some kind of coordination and control from a centralized office, the institution risks projecting an unclear message. Says Glancy, "With the public relations office screening the publications, these benefits emerge: 1) economies of resources, 2) coordination of institutional message, 3) coordination of design, 4) consistent reporting of accurate information, and 5) assurance of overall quality."³⁰

- *Maintain consistency.* One of the biggest mistakes colleges make is to change their publications too often. Yes, the publications program needs new life; it needs to keep up with the times, both in design and in message. But if an institution has developed publications, messages, slogans, colors, and designs that seem to be working, it should stick with them. Too many institutions change logos, colors, and key messages in response to the desires of a new president or just because they are tired of them. A lesson from the advertising business would apply: It takes years to establish an image, and changing it frequently confuses the audience.

- *Focus on the audience.* The value of publications is that they can be targeted to the interests and attitudes of a target audience. As Garfinkle advises in her article

on development publications, "First and most important, start by getting to know your intended audience. Ask yourself: Are we making our pitch to all alumni or to those with a specific interest? Are they young or old, Midwestern or coastal, adventuresome or reserved?"⁴¹

- *Know the budget.* Budgets for publications can vary widely, and it's important to get estimates for creative work and production before starting a project and to keep the department requesting the publication informed throughout. Otherwise, their expectations may be unrealistic, or projects may go significantly over the budget.

- *Establish reasonable deadlines and keep records.* Publications have a way of going over budget and missing deadlines. It's important to establish reasonable schedules at the outset and keep records of all jobs. These records are useful both in tracking the project and in doing it again the next time around.

Step 15: Tell the story through the news media

One of the most important tasks of the public relations office is to tell the college's story through the news media. The kinds of news and feature stories colleges typically report each year, of interest to campus and community audiences and related directly to the college's own calendar of events, fall roughly into the following categories:

- college-wide news: fall enrollments, new faculty and courses, building openings, board decisions, tuition and fees, and actions of the president;
- event news: lectures, conferences, exhibits, inaugurations, commencements, and convocations;
- student news: hometown releases on students' honors and awards, performances and exhibits, involvement in undergraduate research, graduation events, and participation in extracurricular activities;
- sports news: the games, the scores, the players, and the college's record (this function is often handled separately by a sports information director or out of the athletic director's office);
- faculty news: research, studies and surveys, teaching methods, special programs, and specific expertise; and
- alumni news: achievements and successes of alumni.

In addition to reporting rather routine news and announcements, small college public relations professionals should look for opportunities to generate coverage in national and specialized media. Most of these opportunities have to be created since small colleges have so little "hot" news to report. Here are some of the techniques colleges can use to broaden their outreach:

- *Tie into seasons, external events, national reports.* Anticipating stories tied to seasons, annual educational and external events, and major national reports will give the public relations office opportunities to place soft roundup, consumer advice, and topical stories of interest to parent and student constituencies.
- *Tie into trends and issues.* Faculty are often excellent sources for "the big story" as they have the credibility and expertise to comment on events and issues related to their areas of expertise. Public relations professionals should work closely with faculty to determine when they might be giving a presentation, writing

a scholarly article, publishing a book, traveling with the admissions staff to recruit students, involving students in research or interesting internship projects, or introducing a new course. One common technique is to produce a faculty experts guide and a speakers guide to introduce faculty to media outlets. In addition, one-page profiles can remind the media of faculty resource people who can comment on current events or issues of the day.

- *Develop a roundup story.* Media, particularly specialized or national media, want to report on what many colleges are doing, not just what one is doing. One way to publicize a small college in bigger media outlets is to research and report on how three or four institutions are being innovative or solving a problem.

- *Write a feature story.* A feature story about students, a faculty member, or a program can take time to research and write, but these kinds of stories are usually positive and useful. One approach is to write features for the alumni magazine that can run in media with wider public circulation.

- *Offer consumer advice.* Administrators and faculty are good sources of consumer advice stories, and the media are often looking for this kind of material. Whether it's advice on how to adjust to college (and how to pay for it) or how to plan a career in the sciences, there are a multitude of possibilities to explore.

- *Develop op-eds and articles.* Faculty have little trouble voicing their opinions to their classes, and, in addition to teaching, they are busy doing research, writing, and publishing. Why not use some of this material in op-eds, articles, and broadcast interviews?

- *Use photos and other visual material.* The advent of color in all major print media and the pervasiveness of television make it almost mandatory for public relations professionals to include visual materials with their stories. Media are hungry for this kind of material, and institutions that respond to this need will meet with better success than those that do not.

Finally, while there are many techniques for working effectively with media, several are critically important to all programs. Among the nine guidelines Glancy offers, consider especially these five:

- get out of the office and find out what's going on;
- develop strong relationships with reporters;
- treat reporters even-handedly and always respond promptly to inquiries;
- match the message to the medium; and
- make use of different and new techniques, especially new technology, to reach media outlets.⁴²

Dozens of books and hundreds of workshops offer useful advice on how to work with the media, how to create news, how to write for print and broadcast media, and how to communicate through audio and visual means. Nevertheless, success in media relations usually can't be obtained without a solid base of hands-on experience and a comprehensive knowledge of the institution, the needs of the media, and the external environment—mixed with a good deal of luck.

Step 16: Establish methods for monitoring and evaluating results

Measuring results is one of the most important elements of the planning process. The president and other officers will want to know how the public relations effort

pays off at the box office. Is the college attracting new student inquiries? Are alumni and donors increasing their support? Are more inquiries coming from the media for information and sources of expertise?

In setting up criteria for evaluation, remember that no one activity takes place in isolation. Public relations activities in general, and publicity in particular, are communications techniques that are very difficult—and very costly—to measure precisely. Public relations relies on the interest and goodwill of others, primarily the media, to carry the messages to intended audiences. The function of publicity is twofold: to heighten awareness and to reinforce and enhance the image and reputation of the college.

Changing attitudes and influencing behavior are long-term objectives that can only be effectively evaluated over several years. Nevertheless, there are several levels of evaluation that college public relations directors can build in to assess the quality and impact of the ongoing effort.

Harvey K. Jacobson has written extensively on this topic. Jacobson outlines how a public relations office can measure the public relations effort itself and the contact, response, and relationship with the audience. The following discussion is adapted from his work.

Measuring the effort. The first step in evaluating effectiveness is to monitor and evaluate the plan. A strategic communications plan should be reviewed formally each month within the public relations department. In addition, the departmental portions of the plan should be reviewed monthly with the resource manager who helped write the plan. A quarterly one- or two-page summary of activities should be provided to the president and senior staff.

Measuring audience contact. Most public relations offices that do measure their efforts spend most of their time and money measuring "contact"—the number of people at a press conference, the increase in admissions inquiries, expanded alumni participation, the number of clips produced, the number of people who register for an event, etc.

Measuring response. A college can learn a good deal about the effectiveness of its many communications by measuring audience response (level of understanding, acceptance, support). It's important to remember what the objective of the communication is before putting response mechanisms in place. The admission office may use a variety of techniques, especially in its direct mail communications, but many public relations activities are not aimed primarily at generating a response. However, for those activities that are, such as promoting continuing education programs, the public relations office could use a variety of techniques. These include department or box numbers in press releases; monitoring and evaluation sheets on the desks of those who answer inquiries; and surveys of audiences to determine who is listening to what and with what effect.

Measuring relationships. The ultimate goal of a strategic communications program is to influence opinion and change the relationships people have with the college. Colleges today are very concerned about the bottom line: the number of students who enroll and the amount of money that is raised. The contribution of public relations to the bottom line is difficult to measure, especially over the short-term. Typical methods, all of which are usually expensive, include opinion polls, attitude surveys, and readership studies.⁵⁵

In the final analysis, because colleges are in the business of providing a service, they must be responsive to the publics they serve. As Julie Guillebeau, director of public relations at Drury College, said in an interview: "Our primary goal is serving our community—the staff, the region, whatever it is—and the public relations office has to keep this in mind. A small college is a public trust and we have a critical role to play in our community. The person in the public relations job has to be a guardian of that public trust."¹¹

In many ways, the public relations office is the conscience of the institution, walking a road that is both in line with the mission of the institution and responsive to the community it serves. As small colleges face the hard realities and difficult issues of the 1990s, the role of the public relations office has become increasingly critical, both in helping the college advance and in developing and preserving the public trust.

Notes

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²⁶ Howard Ray Rowland, *Effective Community Relations* (San Francisco: Jossey-Bass, 1980).

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³³ Harvey K. Jacobson, "Framework for Evaluation: Indicators of Efforts, Performance, Effects," in *Evaluating Advancement Programs*, ed. Harvey K. Jacobson, New Directions for Institutional Advancement no. 1 (San Francisco: Jossey-Bass, 1978).

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About the Author

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Since 1982, Halstead has managed the "Small Colleges Can Help You Make It Big" campaign for the Council of Independent Colleges, which serves more than 700 small liberal arts colleges and universities.

Prior to entering consulting in 1980, Halstead was executive director of public

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She has a B.A. from Bucknell University and an M.A. from Columbia University Teachers College. She was a trustee of Bucknell University, chairs Bucknell's Visiting Trustee Committee on Public Relations, and is a member of the Corporate Advisory Board of the Independent College Fund of New York. She has written numerous articles and given many presentations on marketing and public relations in higher education.

Alumni: Fanning the Commitment Fire

Charles G. Rodriguez

Tension among the members of the president's cabinet was so high after reviewing the budget forecast that tempers started to flare. The mood among the vice presidents was becoming increasingly confrontational as the discussion shifted to where the increased revenues were going to come from.

"If we hope to balance the budget next year, it means we must raise another half million dollars in gifts above what we raised last year. Tuition and fees just can't go any higher," the vice president for finance and business stated in concluding his budget forecast to the president's cabinet.

The vice president for development felt all eyes shifting to her. The implication was obvious—her department was expected to come up with all the required additional revenues in the form of gift income. She was expected to fill the gap.

"But that's nearly a 20 percent increase over what we raised last year! We may be able to get half that much from our top major donors by asking them to complete their pledges early. Where we'll come up with the rest is beyond me." With this remark, the exasperated development vice president sat back in her chair.

To prevent the meeting from degenerating, the president took a firm position. There seemed to be only one reliable remedy. "What's the problem?" snapped the president. "Just ask the alumni for the difference. They'll come through with the money. Just send out two or three extra appeal letters or get together a bunch of students to call our alumni—tell them it's an emergency. It worked last year."

In different guises, this kind of conversation takes place among top administrators of many small colleges almost every budget cycle. Alumni are considered the college's resource of last resort, an untiring and inexhaustible source of support year after year. But alumni are not to be taken for granted; they give money and participate in college life as *volunteers*. Relying on alumni to bail out college budgets year after year is a prescription for frustration among advancement staffs and disillusionment among alumni.

That small college administrators recognize the importance of alumni is demonstrated by the increase in alumni affairs expenditures at the member institutions of the Council of Independent Colleges (CIC) over the last eight years. For example, the mean expenditure (see Chapter 9) on alumni affairs for the CIC colleges responding to the surveys of FY 1983-84 and 1990-91 increased from \$47,533 to \$84,239. Even taking inflation into account, this is a major incremental change. Such a significant increase indicates that many colleges are seriously committed to improving relations with alumni.

Interestingly, at the responding CIC colleges, this commitment was manifested primarily in operational expenditures (program support and publication expenses) rather than increases in the number of staff. Survey results show that the number of alumni affairs administrative staff declined slightly from an average of 1.2 in the FY 1983-84 survey to 1.13 in 1990-91. During the same period, the number of alumni clerical/secretarial staff fell from an average 1.23 to 0.96. So, while more money has been committed to alumni affairs, on average fewer staff are employed now than during the previous survey.

With fewer staff in the alumni office, more doubling up of responsibilities, and the tendency toward austerity and even further staff reductions, it is important to ask whether a traditional approach to alumni affairs can be sustained. Every year there are more alumni to serve, and the proportion of young alumni is fast growing. Their consumer habits and lifestyles tend to make them demand a more customized treatment and more active involvement than older alumni. Yet how can the shrinking alumni office in a small college ever hope to meet the needs of this emerging group of new alumni and also continue to give older alumni what they have come to expect?

Some small colleges try to compensate for scaled down traditional alumni events by upgrading and increasing the frequency of their alumni magazines at a significant increase in postage, printing, and production expenses. But is this really meeting alumni needs? Is holding to the traditional approach appropriate in these days of smaller staffs, escalating costs, smaller budgets, and more discriminating alumni?

This chapter suggests some alternative approaches. While it may not be necessary to alter abruptly the way the alumni office operates, there may be significant value in incrementally modifying some programs to better serve alumni. Doing a few alumni programs very well, even if they do not conform to "textbook solutions," will be more productive than trying to do everything "by the book." Doing a few alumni programs very well may be more productive than trying to do everything. Especially appropriate for small advancement shops are alternative approaches that improve goodwill among the institution's alumni and tangibly benefit the college at the same time.

The experience of alumni affairs professionals and the findings of the FY 1990-91 survey of CIC colleges suggest three cost-sensitive and related approaches to involving alumni in active ways and increasing alumni giving. First and foremost is the need to treat all alumni as prospective volunteers who have interests and preferences that deserve attention. I liken this to finding embers or sparks of interest that can be fanned into a flame.

Second, we need to become institutionally "smarter" about the ways we fan the flames (gain the interest, increase the involvement, and secure the commit-

ment of alumni). This includes mobilizing volunteer alumni into active participatory roles with other offices on campus—lining up willing volunteers with appropriate responsibilities.

Finally, we need to arrange the hot coals to keep the fires going, possibly by modifying resource allocation within the alumni office instead of repeating the same scripted events year after year.

All of these approaches emphasize attention to outcomes over specific techniques and process over procedure. They address alumni and staff attitudes, our organizational perspective of where alumni fit in the life of the college, and our priorities for committing management time and money to alumni affairs. We can no longer afford to conduct alumni affairs as we did in the days when budgets were flush and alumni were satisfied with the traditional activities. We need an approach that can be customized for each institution and that offers hope for increased alumni involvement and contributions in the rapidly changing future.

Finding the embers

It's a "given" of alumni work that alumni who are engaged in the life and success of the college are likely to contribute more frequently and more generously than those who are not. The FY 1990-91 CIC survey shows that approximately 24 percent of alumni at small colleges make an annual gift. These alumni who contribute to the annual fund are often among the group of people who volunteer their time, energy, and suggestions to improve the college. There is a noteworthy connection between those who volunteer and those who make charitable contributions to a college.

Alumni involvement with other alumni and on behalf of their alma mater sometimes engenders within them a sense of magnanimity, which often stimulates even more involvement. The involved person will likely imagine him or herself as a philanthropic leader, and therefore, give more. The uninvolved person will give less.¹

It is easy to lose sight of what matters to others when we become too busy, find that we have fewer people around to help us, or are operating with fewer resources. In such a situation, the alumni office is likely to take an increasingly parochial view and to cling to methods that worked during more affluent times. The one point that we should never lose sight of, however, is that the needs of alumni should always be paramount in alumni affairs. Today we need to reshape how we think of alumni and to view them as co-participants in the success of the college, rather than as "old grads who only come to the annual social." The three points outlined below can help us do this:

1. Recognize that alumni have an important role in the small college. Robert Forman suggests, "Alumni are, without question, the single greatest resource a [college] president has. They not only provide needed funds, but recruit students, offer new and innovative ideas, and communicate to various constituencies."²

There seem to be two prevailing attitudes at many small colleges: One is the

notion that alumni could provide tremendous help as student recruiters, student mentors, contributors to classroom instruction, and boosters at-large if only somebody could organize and keep them motivated. Nearly everybody involved with the college's management shares this idea. Within the development and alumni offices, however, the attitude toward alumni is often more limited and pragmatic: How can we manage to answer all their mail, fill up the next edition of the alumni magazine, and make homecoming better next year? This limited perspective leads to a failure to support alumni involvement on campus in the day-to-day life of the college.

Alumni as volunteers can enhance the quality of life enjoyed by students enrolled today much more economically than paid college staff. Philip Kotler recognizes that volunteers' contributions help keep expenses down for the parent organization.⁴ Small colleges today need to reduce their expenses as much as they can to keep education affordable for their students. From the perspective of stewardship, it is vitally important to optimize the volunteer support of alumni throughout the college.

2. Capture the interest of alumni by appealing to their most treasured connection with the college. The key to cultivating alumni gifts is to involve alumni in activities that will lead them to express their active commitment to the college. They will more likely become involved in connection with others who shared experiences with them while they were students. For some, the connection that sparks their interest will be sports, a club, or student government. For many, the affiliation of greatest relevance is their academic major and memories of an especially popular or erudite faculty member. The long-standing assumption that alumni loyalty and identification with their class year is their strongest bond is questionable among some student groups today, especially as more and more nontraditional age students enter our colleges. As their college experiences stretch from four to seven or more years, these new alumni are less likely to identify with their class. The challenge is to discover alumni motivation and determine how to translate that interest into volunteer roles that are meaningful to the alumni and valuable for the college.

In his book on volunteerism, Jon Van Tils suggests that "Organizations have to give increased attention now to the problem of volunteer attraction and satisfaction."⁵ To gauge their interests, we need to listen to alumni when they tell us what matters. We need to do surveys, conduct focus group sessions, and make it easy for alumni to express their concerns.

"Capturing alumni interest" has its fund-raising implications as well. We need to segment mailings and approaches motivationally, not just by dollar ranges. This may mean preparing tailored appeal letters for signature by campus opinion leaders such as coaches, faculty members, and alumni who are highly regarded by certain alumni sectors. It may mean bringing small homogeneous groups of alumni together to plan activities that help the college. These types of initiatives broaden the extent to which alumni determine the type, level, and tone of their involvement. Alumni affairs will become much more than the "same old thing" every year when we systematically survey our alumni, coordinate our staff planning across the campus, and encourage more interaction among alumni.

3. Recognize that alumni interests are changing even as societal values are changing. The needs and expectations of volunteers have evolved nearly full

circle during the past 40 years. For example, prior to and for several decades after World War II, alumni were typical of volunteers of an earlier era who, Kotler said, "talked about the gratification they derived from helping others.... Volunteering allowed them to repay obligations."⁵

In the 1970s and 1980s, more self-serving gratifications became the motivation for alumni involvement: "Volunteering conveyed and validated a higher social status."⁶ To volunteer often meant to pay your dues in the ascent up the social and organizational ladder. Today, with upward social mobility a fading motivation for many, alumni interest in volunteering is regaining its altruistic basis; alumni want to make a return to the alma mater that helped shape their lives. For an increasing number of alumni, it is no longer as important to be seen socializing with other alumni as it is to help others experience the good things they remember about college.

Just as consumer brand loyalty has eroded during the past few decades, so, too, has alumni loyalty. Alumni can no longer be counted on to be loyal at all costs, but their commitment results when they are persuaded to get involved because their help is essential to the continuing success of the college. People today want more than a good feeling—they want to make a difference and have a positive impact. They want a chance to roll up their sleeves and volunteer.

Alumni interests are evolving. This may mean less emphasis on traditional events like regional suppers and more emphasis on special activities that bring alumni together for the benefit of the college, such as interviewing prospective students or hosting touring student groups.

After we have found the embers and determined how to get the attention of alumni, the next task is fanning the flames to get them actively involved.

Fanning the flames

Most small colleges have a number of tasks that alumni volunteers can do on campus and in the field. In order for other campus offices to sustain the interest of alumni volunteers over a number of years, they need orientation on the fundamentals of working with volunteers—treating them with special respect and publicly acknowledging their assistance.

The alumni office should provide this orientation training and assist in the preparation of job descriptions and recognition for alumni volunteers. For example, alumni who successfully recruit a specified number of new students might be featured in an alumni magazine photo, posed with their enrolled students and the director of admissions. Alumni who provide lodging or other hospitality for athletic teams or performing groups might receive a framed and signed photograph of the team or group with a grateful cover letter from the coach or from the faculty sponsor.

The alumni office needs to track alumni volunteer activity throughout the campus and serve as the "invisible" administrative office that ensures alumni volunteers get thanked regularly and in a timely manner by the office that receives their help.

Working smarter means being sensitive to the circumstances under which alumni are asked to get involved. Just as the timing of a request is important,

so, too, it is important to consider several issues when you are working with alumni. The following strategies for dealing with these issues are based on recent research findings:

1. *Target for involvement alumni who are already active in other volunteer activities.* Most small colleges have too many alumni to approach individually. They need to focus on alumni target segments. The selection of these segments should not be done without careful research. One method is to survey the alumni regularly with written questionnaires. Consider which identifiable groups of alumni are already involved as volunteers elsewhere. Alumni who are likely to volunteer or give to their alma mater probably have a predisposition to help others, which may be manifested in volunteer service for other organizations, including the church or synagogue. In his 1978 study, Markoff finds, "Contributors to the annual fund were more likely than non-contributors to [give] to voluntary organizations, and contributors were more involved in voluntary organizations than non-contributors."

Dues payments may reflect the level of alumni involvement in alumni associations. In the 1990-91 survey of CIC colleges, respondents reported that only 13 percent of their alumni associations assess dues, and, of these, only 15 percent paid dues during FY 1990-91, a lower percentage than the average 24 percent of alumni who made annual gifts. This indicates that many alumni associations have not energized their alumni sufficiently to meet annual dues requirements. Persuading alumni already active as volunteers elsewhere to become participants in alumni association activities can strengthen the alumni base.

2. *Be sensitive to the timing of your alumni solicitations.* Research conducted by Ralph Bristol suggests that, more than any other factor, the performance of the stock market affects alumni giving to four-year institutions. In Bristol's study, about two-thirds of the variance in the average alumni gift over time could be attributed to the market value of stocks.⁸ This suggests that a college should solicit alumni aggressively during a bull stock market and reduce its solicitations and increase its alumni cultivation activities during flat or bear markets. Another strategy is to solicit stock gifts when the market is high, thereby providing the donor relief from costly capital gains tax. The point is to consider the vagaries of the market and ask for the type of gift that makes the most sense from the donor's perspective.

3. *Target alumni with a particular demographic profile who tend to make the best donors and volunteer prospects.* Where alumni live and their family situation may provide clues as to their likelihood to become actively involved or to contribute to the college. Research conducted by Flora Caruthers demonstrates that donor alumni tend to have two or three children, visit the campus, and live either 51 to 100 miles or over 500 miles away from campus. Also, they tend to participate in alumni clubs.⁹ Research conducted by independent consultant Robert McGuire, founder of Econometrics, indicates that alumni with children under the age of 13 seem to be least responsive to annual appeals.¹⁰ Research like this can help you identify and solicit alumni who are most likely to support the college. For example, you might use your alumni database to identify alumni who fit these criteria (distance from campus, number and age of children, visits to campus) and design your appeals accordingly.

4. *Keep the needs of the college in front of alumni, but don't count on the alumni*

magazine to raise money. A significant factor that influences both alumni giving and volunteerism is alumni awareness of the college's needs. Irving Henry Allen's research concludes that "Alumni giving is influenced by increased awareness of the financial needs of their alma mater."¹¹ Regular communication with alumni about the college's institutional needs as well as its success stories is important in generating alumni awareness and interest. However, relying on the alumni magazine to produce alumni charitable contributions is asking too much of any magazine.

In his study, Bragg concludes: "Whether or not the alumni magazine was read did not influence the amount of financial contribution given to a university by its alumni."¹² This finding brings into question the practice of including an appeal for gifts inside the alumni magazine. Rather than using the alumni magazine as a vehicle for fund-raising solicitations, restrict the role of the magazine to generating interest and involvement among alumni.

5. *Encourage the president to spend time and stabilize relationships with alumni.* Research findings suggest that alumni attitudes are largely shaped by the personal attention and consistency of treatment they receive from the college president. Alumni tend to grow closer to the college when their president does some or all of the following:

- speaks at alumni gatherings;
- includes alumni in the list of donor prospects receiving the most attention;
- stabilizes the alumni director position; and
- opens his or her house to alumni visits.¹³

Presidents should include on the list of donor prospects who receive the greatest amount of cultivation time the names of seven or more alumni or spouses of alumni. The president's list of prospects who are most likely to make a major gift or facilitate a major gift should include a sizable number of alumni. The fact is that alumni talk to other alumni. Their common experiential bond means that the attention spent on them by an obliging president is passed along by word-of-mouth to other alumni, thus multiplying alumni goodwill. You might even think of presidential cultivation of alumni donors as a matching gift. When one alumnus is treated well, several alumni learn about it and the goodwill multiplies. This makes it very important that alumni receive a significant portion of the president's personal attention.

Presidents should speak at alumni gatherings and favor the theme of "fortifying the historic values of the college." Alumni place greatest value on that which is contextually historical from their perspective—the way things were when they were students. Presidents are likely to find a receptive audience when their comments to alumni are based upon enduring values of the institution. Change for the sake of growth or modernization does not usually sit well with alumni. After all, changing means devaluing or eliminating that with which they are familiar.

It is possible to secure alumni support for change, but usually only if the change can be convincingly positioned as a modest modification to the college's foundational purpose. Attempting to change a college from uni-sex to coeducational, for example, may be hard for most alumni to accept. However, if the change must be made, it is important to point out to alumni that the values of the college have not changed and to position the change message in careful and considerate

language that acknowledges alumni appreciation for tradition.

Presidents should stabilize the alumni director in position to ensure that he or she has five years or more of on-the-job experience. Alumni directors who have become familiar faces to those returning for homecoming weekends or informal campus visits provide continuity that alumni appreciate. Rotating people into and out of the alumni director position hampers the building of alumni goodwill.

If an alumni director is not administratively proficient enough to manage the office, it is usually better to assign a development officer or associate to run the alumni office than to remove a much-respected alumni director. Job descriptions can be adjusted to best match individual abilities with organizational responsibilities. While this is not usually a wise decision from a general management perspective, it is sometimes necessary to make an exception to good management practice in order to retain a respected and much-loved alumni director to bolster confidence in the college.

Presidents should open their house to alumni couples six or more times per semester. Sixty-nine percent of the presidents of the CIC colleges responding to the survey indicated that their presidents invited a group of two or more alumni couples to their home in FY 1990-91. To increase alumni donor participation rates, college presidents should be encouraged to include in these gatherings alumni who are on the short list of donor prospects.

6. Encourage alumni to contribute time and money to strengthen student academic support services. All the alumni involvement and volunteering discussed so far are means to an end—a successful solicitation. While the context of funding appeals and the purposes of the requested gifts should be in line with alumni interests and involvement, they should be steered, whenever possible, to support key components of the college's academic support services.

The best way to have eager alumni volunteers tomorrow is to treat them well as students today. Providing a positive experience for students produces satisfied alumni who are major assets for admissions and development.¹⁴ The best way to improve student experiences is to invest adequately in academic support services. A recent report prepared by James Boyle concludes, "Colleges investing their resources to strengthen the quality of students, faculty, and libraries are more likely to experience positive alumni reciprocity in their giving behavior." Boyle lists three factors associated with higher alumni donor participation (in descending order of importance): number of library books per student enrolled; SAT scores of entering students; and percentage of faculty with Ph.D.s.¹⁵ While it may be difficult for small colleges to improve these areas quickly, they can encourage their alumni to contribute to program enhancements for these purposes.

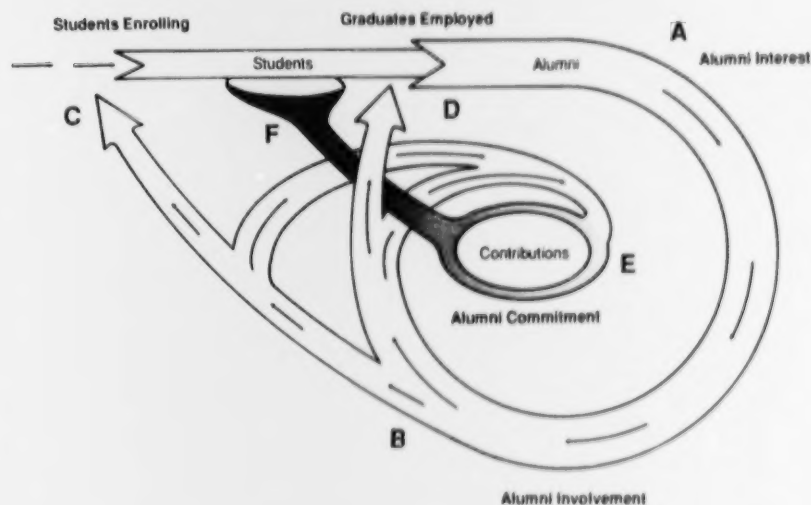
No matter how busy the alumni office becomes in serving current alumni and cultivating their gifts, the payoff in future years will not come without a significant and strategic investment in today's students. The ideal solution is to develop an alumni giving program that becomes self-perpetuating as, for example, when alumni contributions are used to improve library holdings and attract and retain highly qualified faculty. Alumni should understand that they are strengthening their alma mater when they recruit quality students and participate in alumni projects. They should be encouraged to make unrestricted contributions, where their gifts can do the most good to improve the academic experience of today's

students. The promise for the future becomes an alumni rallying cry when, through their contributions, alumni participate in the success of today's students.

Moving alumni along a continuum of interest-involvement-commitment has a counterpart in the ways that alumni can best help the college. After graduation, new alumni become interested in helping their alma mater because they find value and personal satisfaction in associating with other alumni and doing something for today's students. When their interest is piqued by regular exposure to the alumni magazine and guided and supported by alumni staff and fellow alumni volunteers, newly active alumni can become involved as student recruiters or student mentors. Alumni may help in job placement or provide other personal support to students.

Finally, because of their investment of time and effort, alumni condition themselves to be more receptive to charitable solicitations. Their commitment is formalized when they make financial contributions to the institution, especially gifts to enhance the academic program quality. This process along the continuum of interest-involvement-commitment may be thought of as "A Model of Perpetual Alumni Support" (Figure 7-1).

Figure 7-1: A Model of Perpetual Alumni Support



Note: The loops in this model from points A through F illustrate the continuous nature of the alumni interest-involvement-commitment continuum.

A—Alumni interest is piqued by information in the alumni magazine. Alumni turn back to their alma mater to investigate ways to become involved.

B—Alumni interest is converted to involvement in ways that help today's students.

C—Students enroll in college, often with the encouragement or assistance of alumni.

D—Students secure internships or employment leads with the help of alumni mentors.

E—Alumni become committed to the work of the college because of their interaction with students and one another. Charitable contributions increase.

F—Alumni gifts, when applied to scholarships, faculty development, and library support, undergird and strengthen the quality of the educational experience of today's students.

Fanning the flame, or moving alumni from interest through involvement and towards a charitable contribution, is an important objective in alumni affairs. The six initiatives suggested above describe specific efforts that you can undertake to involve alumni as volunteers and approach them with a tailored solicitation. The next section addresses ways to sustain this operational model by creative management of available alumni office resources.

Arranging the hot coals

While it is important to attract the interest of alumni and get them involved in the life of the college, it is just as important to follow through and administratively sustain their enthusiasm. We need to keep the fire of alumni commitment alive by arranging the hot coals—allocating resources to support alumni involvement and sustain alumni interest.

The traditional way of allocating resources for alumni offices is reflected in data gathered from the FY 1990-91 survey of CIC colleges. As would be expected, budgets for alumni affairs operations tend to increase as the number of enrolled students at a small college increases. The range is great, from approximately \$8,000 to \$288,000.

While these data make no distinction between how the funds are used, alumni offices whose resources are heavily committed to special events or services that are labor-intensive should consider conducting an audit on return-on-investment. How many alumni who participate in the alumni socials make financial contributions to the college? How much is spent keeping them happy? How much do they return to the college? Have the efforts of the alumni staff been preempted by doing the same things in a bigger way every year for the same small group of alumni who make only nominal gifts—or none at all?

Table 7-1: Alumni Affairs Expenditures by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	\$ 7,908	\$ 150,000	\$ 50,550
501-750	8,250	118,843	52,573
751-1,000	14,126	193,763	75,486
1,001-1,250	6,800	193,407	88,575
1,251-1,500	34,053	200,402	94,493
1,501-2,000	22,000	287,655	144,646
2,001 +	25,000	240,000	122,677

If this is the case, the college needs to consider how the cost of doing labor-intensive alumni events programs may be reduced. How might resources be

shifted to support alumni interpersonal initiatives that have the potential for stimulating alumni gifts in future years from a larger cadre of involved alumni? How can the alumni office's budget and staff be better used to cultivate the new generation of alumni willing to volunteer? The survey of CIC colleges discovered that only 36 percent of the responding institutions have programs for recent graduates. Clearly, staffing patterns should be examined.

The number of administrative staff employed tends to be consistent, typically about one, regardless of enrollment size. However, by statistical mean, there is a very modest trend among larger colleges to employ slightly more alumni professionals.

Table 7-2: Alumni Affairs Administrative Staff by Enrollment Size (FTE)

Enrollment	Range		Mean
	Low	High	
Up to 500	0.5	2.0	0.97
501-750	0.5	2.0	0.99
751-1,000	0.5	3.0	1.12
1,001-1,250	0.5	2.0	1.08
1,251-1,500	1.0	2.0	1.14
1,501-2,000	0.5	3.0	1.27
2,001+	0.5	2.4	1.32

Most colleges, regardless of the enrollment size, tend to employ one alumni staff assistant.

The staffing priorities of alumni offices, while varying from college to college, seem to favor three primary functions:

- hosting homecoming and other special events;
- writing, producing and distributing the alumni magazine; and
- handling alumni traffic (letters and drop-in visits) on a day-to-day basis.

The first and third functions are highly labor-intensive and tend to consume a significant amount of the staff time while serving only a small number of the total alumni population. There is little energy or motivation left over for alumni affairs professionals and staff to become involved in fund raising. In fact, only 59 percent of small college alumni offices represented in the 1990-91 survey of CIC colleges consider fund raising to be part of their responsibility. This is an especially eye-opening statistic considering the fact that at these same institutions, 81 percent report that the alumni offices depend entirely on college budgets for their operational revenue.

The second function results in a tangible product, a magazine, that imposes an extremely heavy demand on the attention of alumni professionals and secretarial staff. If alumni staffing were growing at small colleges, then it might be possible to adequately administer these three traditional functions for a growing

alumni body. However, in a no-growth staff environment, it is difficult if not impossible to do a high-quality job in all these areas with staff alone. It may be necessary to re-prioritize what should be done by staff and by volunteers to meet the needs of alumni with the resources available.

I suspect that too many alumni offices have become overly concerned with creating a social club or, more recently, with providing social services to a small number of alumni. On average, the small colleges participating in the survey hold 12 off-campus alumni meetings annually. While reunions, trips, and a campus homebase for alumni are traditions with significant value and probably too firmly established to eliminate, they can be administered less expensively. As budgets get tighter, alumni officers are going to have to be more creative about what they do and how they do it.

The suggestions below address ways to reallocate the scarce resources of staff and professional time.

1. *Apportion the investment of scarce resources more strategically.* Consider investing less time and energy in large group alumni events and more resources in smaller programs designed selectively for a few alumni or alumni couples who have the greatest giving potential. This will require greater cooperation between the alumni director as a social facilitator and the development office as the agenda-setter for a number of small targeted alumni events. While such small group cultivation events need not exclude other alumni, they should be designed around the attendance of the key donor prospects. The point is to avoid dissipating alumni staff resources and institutional budgets on "feel-good" alumni parties that take place with little or no regard for cultivation of the most likely alumni donors.

2. *Maximize use of students and alumni volunteers to supplement staff.* Use a cadre of student interns at minimum wage or retired alumni who volunteer to serve as receptionists, clerks, and keyboard/telephone assistants in collecting information for recruitment and employment network programs. This may allow for the conversion of a secretarial position from full-time to part-time. This is a good way to work smarter, involve more people, and create commitment all at the same time.

When gainfully employed and properly supported, volunteers are effectiveness multipliers. They may be even more dedicated than paid staff and make better ambassadors on behalf of the college because their work is volitional and from the heart. Guidance on how to motivate and effectively manage volunteers is available in training resources at the nearest United Way office. Robert Zelno's article, "Alumni Training by the Book," offers cogent suggestions to train volunteer leaders for your alumni programs.¹⁰ You may be able to identify an alumnus who has worked as a volunteer coordinator with his or her church or community chest. These people often make excellent team leaders, helping recruit others and keeping volunteers involved and motivated.

Volunteers on campus can supervise the routine work of student interns and do the time-consuming job of keeping in touch with alumni volunteers in the field. Paid staff, once relieved of much of this tedious work, can spend their time keeping the lines of communication open with admissions and placement offices and with the academic deans.

3. *Economize by contracting with commercial vendors.* One option to reduce costs is to contract the writing and production of the alumni magazine and other

publications to a commercial business. Use competitive bidding to select the highest quality and lowest-cost agency/printer. Or consider enlisting local retired alumni to copy-edit and write some articles on a volunteer basis. Students who are journalism majors may make excellent unpaid interns. Doing these things may allow for the conversion of at least one publication staff position to part-time. The objective of these economies is to free staff to concentrate on developing personal relationships with and among alumni.

A word of caution: You may need to go slowly with these changes. On many campuses, the alumni magazine is a political "prize," whether of staff, the alumni director, or a few influential alumni board members. But it is too expensive to be the prerogative of any vested interest. Although the alumni magazine is an important vehicle in disseminating information, it is *not* the goal of alumni affairs. Readership is not commitment, nor does readership necessarily lead to commitment and contributions. The alumni magazine plays only a supporting role. The real generator of commitment is alumni involvement. It's time to consider jobbing out the magazine and getting on with the real business of alumni affairs—building relationships with people.

4. *Alumni directors should be less involved as special events managers.* The alumni director should get out of the office more. Save handwritten and personally typed letters for VIP alumni only, and turn over the preparation of routine correspondence to a trusted staff member or volunteer. You can use the time saved to personally oversee or monitor the alumni volunteers who are supporting other officers throughout campus.

Alumni directors should spend more time and effort connecting individual alumni or groups of alumni to the needs on campus. They should help coordinate alumni involvement as student recruiters or student mentors, facilitate relationships with students, and offer volunteers opportunities all over campus and in the field. An alumni director's efforts should be centered on creating an environment in which alumni can make a meaningful contribution and tangibly help the college. Creating such an environment is work that requires alumni directors to be constantly talking with people, bringing people together on and off campus, and staying above the fray of special events management.

This means surrendering to volunteers the busy work, indeed even the management of the busy work. Giving up the familiar is not always easy, but it must be done if the Model of Perpetual Alumni Support is to be implemented within existing resources.

Conclusion

This chapter has described three related approaches: finding the embers of interest; fanning the flame; and arranging the hot coals of alumni commitment to their alma mater. When taken together, these approaches offer a prescription for managing alumni relations from a nontraditional, process-oriented perspective.

Moving alumni along the interest-involvement-commitment continuum and implementing the Model of Perpetual Alumni Support requires the assistance of alumni volunteers and the active cooperation of many other offices on campus. Supporting this alternative approach may require a re-prioritization of efforts

within many alumni offices. Whatever needs to be done, it will be worth the effort.

Let's listen to our alumni and try to meet their needs the best way we can. We can expect to see growing financial support from our alumni if we give them ample opportunity for meaningful and productive involvement with students and the life of the college.

Notes

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³ Philip Kotler, *Marketing for NonProfit Organizations*, 2d ed. (Englewood Cliffs, NJ: Prentice-Hall, 1982), 412.

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¹⁴ Keith G. Briscoe, "The President and the College Community," in *Courage in Mission: Presidential Leadership in the Church-related College*, ed. Duane H. Dagley (Washington, DC: Council for Advancement and Support of Education, 1988), 99.

¹⁵ James J. Boyle, "Alumni Giving: College Quality and Resources Research Project," Special Report, State University of New York at Binghamton, New York, 1990, 46.

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About the Author

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Additional alumni management experience includes four years of service as an alumni network student recruitment coordinator for the West Point Admissions Office and an alumni leadership role as president of the West Point Society of Cincinnati.

Rodriguez holds a B.S. from the U.S. Military Academy, an M.A. in Communications Research and Marketing Strategy from Wheaton Graduate School, an M.B.A. in Marketing and General Management from Keller Graduate School, and a Ph.D. in Philanthropic Leadership from The Union Institute. He wrote his dissertation on "Alumni and the President: Presidential Leadership Behavior Affecting Alumni Giving at Small, Private Liberal-Arts Colleges."

Cost-effective Enrollment Management: A Cornerstone of Institutional Advancement

Steven J. Henderson

The last decade has been an interesting time (to say the least) for those in enrollment management. We have had the daylights scared out of us by predictions of demographic decline. We have been challenged by the enthusiastic attitude of our college president telling us that our institution will be one of the few that will not suffer in this "trying time." We have worked hard, and some of us have learned to pray hard (remember when it was "work hard, play hard"?). In many ways, enrollment management has come of age (and we aged fast).

What have we learned? What can we pass on to those who think this profession will get them to the cutting edge of higher education? How can we keep them (and us) from discovering how dangerous the cutting edge can be? What are the secrets to succeeding in the next decade? That's what this chapter is about—a summary of what we've learned regarding cost-effective enrollment management for small colleges in today's competitive marketplace and an application of these strategies for the future. Although we will concentrate on the specific enrollment management issues surrounding the recruiting of new students, the concepts have a much broader application. We draw heavily on the experience of many admissions professionals (as reflected in the professional literature) who have survived the last decade. My own experience in the field and as a consultant will be drawn upon where it makes sense.

Before proceeding, let's consider why recruitment/enrollment management should be included in a book on small college institutional advancement. Basically, there are three reasons: First, admissions is generally the largest revenue generator on campus. Many small colleges really know what it means to be "tuition-driven." Respondents to the FY 1990-91 survey of the colleges of the

Council of Independent Colleges (CIC) indicated that they received an average of 67 percent of their funds from tuition. At many private colleges, it is not uncommon for well over 75 percent of the budget to be generated by tuition revenue. While raising funds from outside resources is critical to the long-term development and viability of the small college, without students and their tuition and other revenue (room and board, other fees, etc.) many colleges would be "dead in the water."

According to Charles Rickard, the financial well-being of colleges centers around the recruitment effort: "The admission program provides the lifeblood to sustain these institutions and creates the enthusiasm and commitment needed to enable universities to realize their true potential. A sound admissions program acts as a catalyst for institutional self-study and renewal, thus assisting the institution with fulfilling its mission."¹

The second reason that enrollment management is important to small college advancement has to do with the similarity of strategy in fund raising and recruiting students and the effectiveness of coordinating these functions. William Caren and Frank Kemerer, writing in the late 1970s, were among the first to point out that admissions/recruitment efforts may well belong in the same administrative function as fund raising. They proposed putting admissions and development together in an Institutional Advancement Division.² This idea was popularized in Kemerer, Baldridge, and Green's *Strategies for Effective Enrollment Management*.³

Similarities between donor development and student recruitment include: intangible product, image dependence, marketing promise delivery increases continuation, reliance on marketing resources of the college, and so on. It is not a difficult stretch to consider fund raising and recruitment as closely related partners in the overall advancement process of the college.

Third, fund raising and the recruiting of new students touch on many of the same populations. Alumni and friends are often the target of development efforts. Alumni are also effective advocates for the college, either through their children and grandchildren or through friends. People give in a variety of ways to a college they wish to support. Often, some of the most involved donors are also strong advocates for prospective students, and coordinating development and recruitment efforts enhances both.

Rickard summarizes the importance of coordinating development efforts with the recruitment function: "Outstanding admission programs provide a very important linkage to the various key constituencies that are acutely aware of an institution's stature. These programs help to solidify a university's future and institutional advancement efforts."⁴

As these authors have suggested, many institutions have begun to see their recruitment and admissions expenditures as a very important part of the overall marketing investment of the institution. However, although more than 10 years have passed since this idea was first taken seriously, very little has been done to provide guidelines and a framework to ensure the cost-effectiveness of recruiting efforts. When we say that something is cost-effective, we mean that the activity under scrutiny is delivering good value for the dollars invested—or getting the most "bang for the buck." Cost-effectiveness includes the concept of effectiveness (maximizing goal attainment or achieving the outcome) and efficiency (minimizing cost).

With the financial pressures that are predicted for the next decade, colleges and universities must assess the cost-effectiveness of current recruiting practices. While institutional development efforts seek to bring financial self-sufficiency to the school through outside support, recruitment efforts may be able to use whatever funds are available to an even greater advantage. As tuition dollars provide a substantial portion of the operating capital for colleges and universities, it makes good sense to use cost-effective recruiting strategies to "raise" operating funds from new students.

George Keller provides some insight into the ability and willingness of higher education to respond to changing environments: "[Higher education] constitutes one of the largest industries in the nation but is among the least businesslike and well-managed of all organizations."⁴ With the significant knowledge base available in-house (in most cases), higher education has a great capacity for teaching business management, but apparently only a limited ability to apply these principles to itself. According to Esteban and Apel:

Some of the most influential texts on [marketing] have been authored by university scholars, shaping the strategies of corporations across the country. Yet these same guiding principles tend to lose their way on the short trip between the business school and the administration building—this despite the fact that recruitment marketing exerts crucial leverage, upward and downward, on the health of the typical college or university.⁵

Apparently one of the longest distances in higher education has been from the business school to the administration building. Thankfully, the last 10 years have served as a catalyst for us to "get our act together," particularly in the recruitment area.

There is much that can be said on the cost-effectiveness (or lack thereof) of many parts of the higher education enterprise. Our focus will be mainly limited to the admissions/recruitment effort for new students within the enrollment management function of the college. More specifically, we will be considering cost-effective indicators and measures for the smaller private college as well as many concepts that have even broader application.

This chapter relies heavily on data collected by Wesley Willmer in his FY 1983-84 survey of 190 CIC colleges as well as the follow-up study (1990-91) of 247 CIC colleges. In the 1983-84 survey Willmer saw the need for identifying the cost of recruitment within the overall advancement efforts for smaller colleges.⁷ This factor made the study unusual, and it drew quite a bit of media attention.

As one of the reasons for writing this book is to update the study of the FY 1983-84 survey, this chapter will view not only the current cost of recruiting students at small colleges, but also how those costs have changed over the last several years.

CIC colleges, as well as colleges of all types and descriptions, are investing huge sums in an effort to recruit the most able students. Because this investment has grown by staggering proportions in the last few years, we need to ask several important questions: What are the best ways to invest limited institutional dollars?

How can a small college avoid overspending on strategies that do not work or do not work well? We hope that this chapter will begin to answer parts of these questions and provide methods to ferret out the rest.

Since 1981, well over 1,800 articles and scores of books have been written about various aspects of the recruiting process. After reviewing a great deal of this literature, I believe that a general context is needed to answer these questions. In the specific recommendations of this chapter, the reader will probably see the considerable influence of the Total Quality Management process (TQM). TQM is based on the principle of learning what customers need and constantly improving your processes to deliver it consistently.⁸ TQM has swept through U.S. corporations in recent years, with many viewing it with a near-religious zeal.⁹ The roots of TQM go back to the '30s and '40s in the days of statistical control. Its gurus include W. Edwards Deming and J.M. Juran—preeminent champions of quality.¹⁰ Their ideas were transplanted to Japan where they were used to rebuild that country, the economy, and its devotion to quality. These ideas were improved upon and then reintroduced into American business by the Japanese.¹¹

The basic premises of TQM are found in three words: empowering, energizing, and enabling.¹² When implemented in the college environment, TQM principles include the following:

- a systems perspective;
- maintaining a customer focus;
- continuous process improvement;
- employee involvement;
- data-based decisions;
- training and recognition; and
- benchmarking.¹³

TQM calls for teamwork, a flat organizational structure, an environment without fear, quality designed in (not inspected in), and meeting customer needs.¹⁴

Using the lessons of TQM and the literature of the enrollment management profession, we can see that answers to our question of how to increase the cost-effectiveness of small college recruiting centers around developing and implementing a solid, data-based, workable recruiting process and plan. You can't just start doing good things without some solid planning and preparation for strategic implementation. This chapter discusses seven steps to achieve the best results in this complex effort:

1. Organize for effective enrollment management.
2. Hire the right people.
3. Be a fanatic in your concern for quality.
4. Do your research.
5. Set challenging (but realistic) goals.
6. Develop a solid marketing plan.
7. Get the funding support you need.

The conclusion will touch on five summary points: implement winning strategies and tactics; personalize the process; monitor and adjust; remember customer satisfaction; and celebrate successes.

1. Organize for effective enrollment management

Kemerer, Baldrige, and Green present a number of reporting structures for enrollment management areas. Their strongest recommendations are for an institutional advancement model that combines admissions, financial aid, fund raising, public relations, publications, and other outreach areas under a vice president for institutional advancement.¹⁵ They were among the more significant influences toward a new (at that time) position title, "director of enrollment management."

As Table 8-1 shows, the CIC colleges responding to the FY 1990-91 survey report a decline from FY 1983-84 in the number of chief admissions officers who report directly to the president or the vice presidents of academic affairs and advancement. The largest increase is in those who report to a new division, Enrollment Management, which did not even appear on the earlier study. Although this change may reflect the recommendation of Kemerer, Baldrige, and Green, it is probably contrary to their suggestion that enrollment management be integrated with institutional advancement.

The data also show that there has been a slight increase in the number of chief admissions officers reporting to student affairs. Although the percentage of those reporting to finance more than doubled, the number is still small: 0.5 percent of the 1983-84 group (190 colleges) is only one college; 1.3 percent of the 1992 group (247 colleges) is three colleges.

Table 8-1: Chief Admissions Officer Reporting Lines (Percent)

Reports to:	FY 1983-84	FY 1990-91	Change
President	51.2	42.0	-17.97
V.P., Academic Affairs	18.6	15.8	-25.81
V.P., Advancement	11.7	9.6	-17.95
V.P., Student Affairs	9.0	10.4	15.56
V.P., Finance	0.5	1.3	160.00
Enrollment Management	NA	10.0	NA
Other	9.0	12.9	43.33

Of most interest to us is the number of enrollment managers who have arisen since the FY 1983-84 survey. We can surmise that although the chief recruitment officer at many institutions now responds to enrollment management, at most small colleges the enrollment manager reports to the president. Since the reporting group for this study is made up of small colleges that have a relatively flat organizational structure, this conclusion seems logical. Small colleges have been the hardest hit during the demographic downturn; consequently it is not surprising that presidents would want clear access to enrollment management, bringing

focus and accountability to issues of recruitment and retention.

Kemerer and his co-authors saw this trend early in the development of the enrollment management concept. They noted considerable shifting of reporting structure, especially in private four-year colleges. Even at their early writing date (1982), open-ended responses to the question regarding where admissions efforts ended up revealed a shift of admissions from academic affairs to the president or the vice president for student affairs.¹⁶

What functions should enrollment management include? Don Hossler provides one of the clearest listings. His book became a companion classic with Kemerer, Baldrige, and Green in this new field. His definition of enrollment management shows his commitment to integrating recruitment and retention functions into a total process:

Effective enrollment management not only requires the marketing of the institution and the selection of students but also involves more broadly based and all-encompassing activities. Enrollment management can be defined as a process, or an activity, that influences the size, the shape, and the characteristics of a student body by directing institutional efforts in marketing, recruitment, and admissions as well as pricing and financial aid. In addition, the process exerts a significant influence on academic advising, institutional research agenda, orientation, retention studies, and student services. It is not simply an administrative process. Enrollment management involves the entire campus.¹⁷

Hossler includes the following functions in his model of enrollment management: student marketing and recruitment, pricing and financial aid, academic and career advising, academic assistance programs, institutional research, orientation, retention programs, and student service.¹⁸

Charles R. Pollock and W.C. Wolf give a good summary of the literature related to enrollment management:

Enrollment management... involves much more than simply admissions management. Advocates of the concept seem to be in agreement on two points: that it should be a campus wide undertaking focused on student recruiting, admissions and retention; and it involves ascertaining and meeting the needs of individual students.¹⁹

Pollock and Wolf's study looked at the prevalence and form of enrollment management programs and the differences between institutions involved with enrollment management programs and those that aren't. They found that some type of enrollment management program existed on three of every five campuses.²⁰ Pollock and Wolf believed that the fact that 59 percent of the colleges had some form of enrollment management was more significant than the actual structure involved.

Pollock and Wolf found that enrollment management programs were more

prevalent in colleges with full-time undergraduate enrollments significantly larger than those in our study. They suggested that enrollment management may be more readily introduced in institutions with a broader base and budget. Their study showed that whether or not the institutions surveyed had a structured enrollment management program, nearly 80 percent responded to their questions in ways that suggested a belief in and practice of principles compatible with enrollment management.²¹

According to the data gathered in the FY 1990-91 survey of CIC colleges, there has actually been a decrease in the percentage of institutions where the lead admission/recruiting person reports to the institutional advancement side. It appears that the significance of institutional enrollments have clearly attracted the attention of presidents who desire more direct access to a key player in this area. More and more enrollment managers are fulfilling Don Hossler's vision of the functions that could belong to this area.

What does all this mean? In spite of the fact that the CIC colleges in the survey do not show a significant increase in reporting structures that clearly reflect enrollment management, it is certain that concern for enrollments is of the highest significance on our campuses. In fact, these colleges ranked "attracting prospective students" as the most important among all the listed goals (see Chapter 6).

Muston found nearly the same result in his 1985 study of state colleges and universities. Although enrollment pressures were great, top-level appointments of vice presidents for enrollment management had not been very widespread. He stated that "there are inherent impediments... institutional goals and objectives are necessarily vague, authority is broadly dispersed among disciplinary specialties or service units with functional expertise, and coordination of effort is difficult under the best of conditions."²²

Although the situation in smaller private colleges is considerably different from that in the state universities studied by Muston, the point is that if it is difficult to bring about significant organizational change in colleges with more staff and other resources, it is certainly not to be expected overnight in our small colleges.

But colleges of all types are invariably changing—be it slow or fast. In the Peat Marwick 1986 survey of enrollment management (702 responding four-year colleges and universities), 56 percent of the private institutions surveyed had either an office, a committee, or a position with formal authority for enrollment management; 74 percent of the persons in charge of the enrollment management function have the title of dean, director, or vice president. In private institutions the functions of enrollment management were more likely to be handled in the admissions office.²³ This indicates that at least by the time of this report, enrollment management was most often equated with recruiting. The enrollment management function is now broadening from a narrow focus on recruiting to a more comprehensive view of the original concept.

Although this chapter concentrates on cost-effective recruiting techniques in small colleges, it is worthwhile to note some general recommendations for enrollment management. According to Glover, there are at least nine goals of a comprehensive enrollment management function:

1. Increase the accuracy of enrollment forecasts.
2. Seek ways to increase the university's market share of prospective students.
3. Ensure that institutional pricing and student aid policies are competitive with

those of comparable institutions.

4. Within the limits of available resources, offer high-quality academic programs and campus experiences that are responsive to the needs and preferences of students.

5. Seek ways to increase admissions yield from the number of accepted applicants.

6. Maintain academic standards and an enrollment mix that is consistent with the university's mission.

7. Find ways to describe, predict, and improve student retention.

8. Balance instructional staffing, income, and expense at realistic levels, considering both academic values and enrollment demand.

9. Do follow-up reports on the achievements and satisfactions of students and alumni.²¹

Writing in the summer of 1992, Jeanne Simmons and Gene Laczniaak of Marquette University summarized both Hossler's and Glover's comments into a short but powerful statement: "The basic goal of enrollment management involves becoming more customer responsive to the needs of students."²⁵ This is one of the best summaries of what we are really about and is in keeping with the focus on meeting customer needs so central to the TQM approach. Customer responsiveness is the name of the game. It means understanding customer wants and needs and delivering them in a timely, cost-effective manner.

This sounds a lot like the basic premise of marketing, doesn't it? Marketing is best defined as a voluntary exchange between willing participants to achieve individual or group goals. Catherine Cole defines marketing as "a social and managerial process by which individuals and groups obtain what they need and want through creating and exchanging products and value with each other."²⁶ According to the American Marketing Association, marketing is "a process of planning and executing the conception, pricing, promotion and distribution of ideas, goods and services to create exchanges that satisfy individual and organizational objectives."²⁷ Christopher Lovelock describes marketing as having three focuses: "a strategic thrust pursued by top management; a set of functional activities performed by line management; or as a customer driven orientation for the whole organization." He integrates all three of these aspects into his definitive work on marketing services.²⁸

These definitions of marketing are consistent in the concept of an exchange. The recruiting process is much more than selling the institution. Those really committed to marketing will want to find out what is needed in the marketplace and what the institution can actually deliver, and they will package this delivery so that it meets the needs of its clients. Higher education is no different from any other business in this dimension. It must deliver a competitively priced "product" that meets the needs of its service constituency or deal with dissatisfied customers—or no customers at all.

While this chapter focuses on the recruiting piece of enrollment management, a later section contains comments on marketing research that is focused on finding out what customers want and what institutional capabilities and resources are available to meet this demand. Although the concluding section touches briefly on retention (are our customers satisfied enough with the product we are delivering to buy again?), it is too broad a topic to treat comprehensively in this chapter. References for further study are provided in that section.

The person responsible for enrollment management on any campus should be as highly placed as possible. This person and his or her staff can provide a significant contribution to the overall direction of the institution. He or she can provide an immeasurable benefit to an institution by ensuring that administrative decisions, even at the cabinet level, are made with the internal and external marketplace in mind.

Reporting at the highest level of an institution is not without risk. Often, visibility and vulnerability travel together. This high position means there are few or no intermediaries to soften the demands of a strong president. However, the benefits of input and feedback at the highest levels of the organization should outweigh these concerns.

2. Hire the right people

Almost all of us have heard of the four "P's" of marketing: product, price, place, and promotion. In the last few years, we have seen a need for three more "P's": people, prediction, and planning. This section focuses on people.

One of the most succinct definitions of management was coined by the American Management Association many years ago: "getting things done through other people." More recently, Paul Hersey and Kenneth Blanchard (of "one-minute" everything fame) have defined management as "working with and through individuals and groups and other resources to accomplish organizational goals."²⁹ Studying the motivation and talents of people is an often overlooked area of effective management. Having the best product, set at the most competitive price, with the most up-to-date promotion strategy and the right markets will not mean a thing unless you involve the right people. The success of the recruiting/enrollment management effort depends on the people who are employed to carry out the function. No matter how wonderful the college, these processes cannot happen without people power. The enabling, energizing, and empowering keys—the themes of TQM—compel any institution to involve talented people in the delivery of its product.

Any college that is really looking for increased effectiveness must focus at some early point on the talents of the people who are employed and ensure that they are utilized most effectively. The college must also be astute in recognizing the talents of people during the hiring process. Too often we focus on experience rather than talent. Training, experience, and incentives can't fully compensate for lack of talent. It is more cost-effective to find talented people and enable them to gain experience in a particular area than to hire less talented people who look good on paper because they have had "relevant experience."

How is talent identified? Some of us do it "off the cuff," "by the seat of the pants," or through gut feeling. Others are more scientific. Groups like Selection Research, Inc., of Lincoln, Nebraska, have developed instruments and measures for identifying talents of particular job types: managers, recruiters, telecounselors, and so on.

The cost of such screening and identification systems that identify and measure talents may appear prohibitive for the typical position in the admissions area. However, if you consider that recruiters are significant fund raisers, and each

student attracted to the college represents a significant source of funding, what is the cost of hiring the wrong person? For example, if one student at the responding colleges in the FY 1990-91 survey decides not to enroll or to leave prematurely, this represents at least a \$10,853 loss *per year* (based on an average reported tuition of \$7,507 plus room and board of \$3,346 per year). To paraphrase the old saying, "Ten thousand here... ten thousand there... pretty soon it adds up to *real* money." No institution, large or small, can afford too many losses of this magnitude. Lee Noel states it well: "Hiring the right people is one of the most important but most overlooked part of the management process."⁹¹

The following are important principles to observe when you are hiring admissions personnel:

a. Develop and use proven questions that reveal the personality, communication style, work ethic, etc., of the prospective employee, not just whether the person has had a similar job.

b. Don't badger, but have a number of open-ended situation questions that will demand immediate and concise answers.

c. If hiring a manager, interview by phone, at least, some previous employees (not just employers) with question "a" ideas in mind.

d. If hiring admissions representatives, remember that knowledge about the internal workings of the school through being a student is a plus, but it should not be the only hiring criterion.

e. If hiring admissions representatives, look for talents that can lead to admission counseling skill along with the exuberance and endurance necessary to be a successful "road warrior."

f. If hiring telecounselors, interview all qualified prospects over the phone before meeting them in person. Can they represent themselves over the phone? If not, how could they represent your institution?

g. Make sure that people who exude friendliness and caring are on the front line in all direct student contact positions—receptionists, counselors, and tour guides. You also need powerful paper-pushers and number-crunchers for other jobs. People who can perform at the highest levels of effectiveness in both people- and process-oriented jobs are rare. You'll find fewer than one a year.

h. Hire people who will follow through on their commitments.

*Table 8-2: Admissions Administrative Staff by Enrollment Size (FTE)**

Enrollment	FY 83-84 CIC Study			FY 90-91 CIC Study		
	Low	High	Mean	Low	High	Mean
Up to 500	1	7	3.0	1	10	5.0
501-750	1	7	5.0	2.5	9	5.04
751-1,000	1	9	5.0	1	11.75	6.07
1,001-1,250	1	8	4.5	1	10	5.91
1,251-1,500	1	10	4.5	3.5	11	7.13
1,501-2,000	2	10	7.0	1	13.5	7.06
2,001+	3	7	5.6	4	15.5	7.86

* Full-time equivalency

If you use principles such as these and add ones that work well for your situation, the job of managing can be a great joy. Once the right people are in place, get out of the way (most of the time)! You'll find that people with the right talents and skills will be more than employees. They will be your partners in building a solid enrollment management team.

The data gathered from the CIC respondents show interesting changes in the staffing patterns of small colleges during the last eight years. Tables 8-2 and 8-3 outline staffing for admissions administrative staff.

Table 8-3: Comparison of Admissions Administrative Staff

Enrollment	FY 83-84 CIC Study	FY 90-91 CIC Study	Percent Increase
Up to 500	3.0	5.0	66.67
501-750	5.0	5.04	0.80
751-1,000	5.0	6.07	21.40
1,001-1,250	4.5	5.91	31.55
1,251-1,500	4.5	7.13	58.44
1,501-2,000	7.0	7.06	0.86
2,001+	5.6	7.86	40.56

There has been growth in administrative staffing in every size category among CIC colleges. The mean percentage growth is 31.41 percent.

*Table 8-4: Admissions Clerical/Secretarial Staff by Enrollment Size (FTE)**

Enrollment	FY 83-84 CIC Study			FY 90-91 CIC Study		
	Low	High	Mean	Low	High	Mean
Up to 500	0.3	3	1.7	0.5	3.5	1.53
501-750	0.5	4	2.2	1	3.5	1.93
751-1,000	1	4	2.3	1	10	2.88
1,001-1,250	1	5	2.3	1	5.1	2.82
1,251-1,500	1	5	2.6	1	7	3.1
1,501-2,000	1	6	3.5	1.5	10	3.52
2,001+	2	6	4.0	1	8	4.35

* Full-time equivalency

Tables 8-4 and 8-5 show the changes in clerical/secretarial staff at CIC institutions over the same time period. There has been a decline in clerical/secretarial staffing in the smaller colleges with a very modest growth in all other sizes. All colleges in the FY 1990-91 survey that showed any growth had an increase of less than

0.6 FTE. The mean percentage growth in clerical/secretarial staffing was 7.73 percent.

Table 8-5: Comparison of Admissions Clerical/Secretarial Staffing

Enrollment	FY 83-84 CIC Study	FY 90-91 CIC Study	Percent Increase
Up to 500	1.7	1.53	-10.00
501-750	2.2	1.93	-12.27
751-1,000	2.3	2.88	25.22
1,001-1,250	2.3	2.82	22.61
1,251-1,500	2.6	3.1	19.23
1,501-2,000	3.5	3.52	0.57
2,001+	4.0	4.35	8.75

Over the last years, there has been an increase in staffing in the admissions office, especially at the administrative levels. It is interesting to see that while the administrative staffing has increased an average of 31.41 percent, clerical/secretarial support has only increased by 7.73 percent (only one-fourth as much). Some have suggested the following rationalizations:

- If our recruiting approach is heavily dependent on road warriors, we can always use more traveling staff.
- The necessary rate of increase for support staff is considerably less (maybe the best ratio is four to one).
- We expect the administrative staff to provide much of their own support.
- Somehow we have determined that clerical staff is not as important.
- We have found tools, especially computers, to do some of the intensive jobs previously done by support staff.

In my opinion, none of these provides an adequate reason for this disparity.

It's clear that more attention needs to be given to the vital role of clerical support in the admissions function. The more administrative staff, the more communication is likely to be generated necessitating support staff. Unless the admissions office has a commitment to providing word-processing and data management systems to each administrative staff member, increased support is going to be needed. It would be most unfortunate if admissions administrators were undervaluing the role of the support staff. They, too, are "professionals" and an important part of the admissions/recruiting team.

3. Be a fanatic in your concern for quality

No one wants his or her institution be thought of as run-of-the-mill—or worse. We all want to keep pushing for higher quality. How can small colleges continue

the quest for quality? We must focus on delivery of our marketing promises.

According to Berry and Parasuraman, "an innovator's service quality is usually more difficult to imitate than its service concept."⁴¹ For small colleges, the question is what makes us truly different from the college (whether public or private) down the road. Often our educational coursework is similar, but we pride ourselves on the quality of our service delivery. Most often we talk about the increased measure of personalized attention. Delivering on our marketing promises of increased personalized attention and other quality statements (wonderful family atmosphere, friendly processes and staff, etc.) is the predominant criterion students use to judge service quality at our colleges.

Too often, however, we expend our energies in other areas that may not be as essential for students to see our colleges as being good quality. According to the research of Valarie Zeithaml in developing SERVQUAL (an instrument that measures customers' perceptions of service quality), reliability—performing the promised service dependably and accurately—is always the most critical dimension in assessing quality.⁴² Tangibles (the appearance of physical facilities, equipment, personnel, and communication materials), while important, are always less important than delivering on marketing promises. Enrollment managers in partnership with all other college staff must make sure that there is the narrowest possible gap between what the students grow to expect and what they perceive they receive.⁴³

In 1991, *Business Week* devoted a special issue to quality, exploring the concept in manufacturing, government, services, and research and development.⁴⁴ The comments by Gary McWilliams are particularly enlightening: "[Universities and colleges are] on the verge of transformation... adopting the techniques, strategies—even the language—of quality management." Since TQM is demanded by both students and business, McWilliams' biggest hope is that "profs may learn to practice what they teach."⁴⁵

The literature currently circulating on campuses indicates that those in higher education are getting serious about their concern for quality.⁴⁶ Terms like front stage, back stage, and dramaturgy are being used by colleges as they look at their service delivery systems from the customer's perspective. Books like *Implementing Total Quality Management in Higher Education* and *A Quality System for Education* are finding homes in the heads and bookshelves of higher education. A recent powerful application of TQM to higher education is Daniel T. Seymour's book, *On Q: Causing Quality in Higher Education*. George Keller commented on Seymour's thoughts and concepts in his provocative book review in a recent *Change* magazine. Quoting Seymour ("the quality variable has replaced price and style as the chosen weapon in the battle for market share" and "quality can be actively and aggressively managed into our colleges and universities"), Keller concludes that higher education's performance on delivering quality service can be much better than it is.⁴⁷ There is no doubt that attention to quality service at all levels is becoming one of the most important transforming goals of colleges.

4. Do your research

To be successful in the marketplace, an effective enrollment manager must eat, breathe, and sleep marketing research. It must be part of the foundation of the

grist mill for decisions. Although in some institutions the maverick admissions person may still be able to survive (at least for a while) with "seat of the pants" decisions and "off-the-cuff" marketing strategies, the truly successful enrollment managers in today's competitive marketplace know research and use it wisely.

In the FY 1990-91 survey of CIC colleges, 75.5 percent of the respondents said they had done market research during the past three years to determine why students attend the colleges. An even higher percentage, 82.3 percent, have investigated why accepted students did not enroll. Although the survey data do not enable us to determine the thoroughness of this research, these high percentages show an understanding of the importance of research to the enrollment effort. Unfortunately, this is not the case for many institutions where there are precious few research efforts of real substance for enrollment managers.

Kemerer and his co-authors decried the lack of research efforts for enrollment managers. They concluded that most administrators do not have ready access to recruitment and retention data, and the organizational structure of most institutions impedes the analysis and dissemination of data that are critical to informed policy-making.⁶⁸

Philip Kotler picked up this same theme:

Administrators need appropriate, accessible information in order to make decisions about current and future programs as well as anticipate marketing related problems. Some administrators find that the most basic information was never collected or never recorded. In other cases, the information was either sloppily kept or even destroyed. Some educational institutions have collected lots of information but don't know how that information might be usefully organized and interpreted to aid in decision making.⁶⁹

What these noted scholars are saying is that without good information, institutional marketers, enrollment managers, and policy makers are truly working in the dark. Moreover, decision makers of all types, buried in data that is not good information, are just as much in the dark as those with too little. Many institutions, like the CIC colleges in our study, have recently begun to do a better job of collecting data. Institutional research has begun to focus some attention on the data needs of the marketing areas. But it is important to note that what is needed may not be more data but more information, that is data that has been converted into an understandable form, analyzed and usable for decision making. Stacks of unanalyzed computer printouts can cause data overload. To paraphrase the familiar adage, "Time is too precious to find the pony buried in the manure."

Data analysis to create good research must include information about the institution (internal) as well as about the markets it is trying to reach (external). The research can be as broad as validating the institutional mission or as specific as determining if a particular promotion will work in a very narrow marketing segment. The good enrollment manager must use research to understand:

- the product of his or her college;
- the market;
- the individual consumer;
- the college's strengths and limitations; and

- the competition.

The following questions and areas provide a good starting place to assemble the research upon which to base proactive admissions/marketing efforts:

1. Institutional Distinctiveness Identification

- Who are we?
- Do we have a viable mission? Does it fit our marketplace?
- What are we really about? What are our institutional distinctives?

2. Program/Academic Major Strengths and Weaknesses

- What are our programs?
- What are our strongest programs? What are our weakest?
- What needs to be done to improve each program?
- How can we market each of these in the best way?

3. Market Analysis

- What is our market?
- Are there particular portions (segments) that we are better equipped to serve than other portions of the market?
 - What is our market potential—number/type of potential students (prospects) within our geographic and demographic marketplace?
 - What is our market penetration—of the students in the market potential, how many have inquired?
 - What is our market yield—of the market potential, how many show up? How many enroll?
 - How will our programs change in response to the market? Will they grow or contract?
 - Are we sensitive to the market?

4. Competitors

- Who are they?
- What are our comparative institutional distinctives? What are our differential advantages?
 - In what market segments do we overlap?
 - What are our competitors doing to attract students?
 - What are their costs (both gross and net)?
 - What is their financial aid packaging philosophy?
 - How much scholarship money is available to students?
 - What are their publications like?
 - How effective are they—what is their yield?
 - How should we position our institution versus each of our top five (top 10 or top 20) competitors?

5. Enrollment Data and Yield Analysis

- What has been our history?
- What are the trends, both internal and external (here at the college as well as in our market areas)?
- What is the geographic and demographic profile of our students and how

has it changed in the last few years? How will it change in the next few?

- Do the geodemographics change from inquiries to applicants to accepts to enrollees?
- What have been the best performing sources for new students?
- How does the yield from sources change from the inquiry level through the admissions funnel?
- What sources produce inquiries but few enrolled students?
- What contacts, how many, and in what mix and pattern increase the yield?

6. Financial Aid

- What is our packaging philosophy?
- What is our aid mix?
- Is our aid adequate to meet our enrollment goals in terms of numbers and demographic criteria for new students?
- What are the determinants of willingness to pay as well as ability to pay for our population?

7. Fiscal Analysis

- How fiscally strong are we?
- Do we have budgetary support to accomplish the task?

8. Student Opinion

- Why do students come here? Why do they not come?
- What are the dominant buying motives of inquiries, applicants, accepts, as well as cancels?
- What are their needs, wants, and values?
- How are we doing in delivering on our marketing promises?

To even begin to answer these questions requires significant investments of attention, time, and resources. It is neither an easy task nor a one-time effort. Gathering, analyzing, interpreting, and applying the results of research is a way of life for the effective enrollment manager. Grossman speaks of marketing intelligence as the constant gathering of information from whatever sources are available and the need for "an active program of marketing research."¹⁰

In order to accomplish this level of analysis, an enrollment manager must have quick access to information needed for decision making. Nearly all colleges of any size have found that without computerization, most real information for planning is lost in musty file cabinets. A good marketing information system will have the following minimum characteristics: ease of data entry, methods of ensuring data integrity, ad-hoc report capabilities, contact history overview, archiving and retrieval systems, and interface capabilities to other systems and offices.

More sophisticated computer systems for admissions/marketing include: phone contact tracking, on-line scripts and prompts, automated letter flow, next-step identification, and so on. The more sophisticated systems enable the enrollment manager to be creative in developing reports without having to rely on data-processing people.

In summary, remember the three C's of marketing research: Know your company (your college), know your customer (the student), and know your competition.

I'd add another "C"—know your computer. With good usable research, you will be able to make decisions and recommendations that are based on facts, rather than guesswork.

5. Set challenging (but realistic) goals

The second of our three additional "P's" is prediction. Once admissions/marketing data has been evaluated, the enrollment management team can begin to make predictions—that is, project various scenarios. Ideally, the team should develop goals and propose them to the final decision makers, rather than the decision makers imposing the goals from above. All too often, the fiscal needs of the college, rather than market potential, provide the criteria used to determine enrollment goals. Although the fiscal perspective may be the ultimate deciding factor in many situations, the enrollment manager should at least be able to suggest, as a baseline for discussions, what is possible, challenging, and realistic. If the college's fiscal needs mandate a higher goal, the enrollment manager can present the implications and consequences of the new proposed enrollment level.

No matter how they are established, budgets and enrollment projections must be in constant balance to each other. This will enable the enrollment manager to project the cost of exceeding proposed enrollments and to tie any budget reductions to reductions in enrollment projections. Many enrollment managers have found that a proactive approach to goal setting is essential in getting the budget needed. Goals and marketing plans should drive the budget—not the other way around!

Marketing today requires specificity. We simply cannot market the college as "one school fits all." We need to identify and target individuals in those segments that "we are best equipped to serve."¹ Segmenting refers to the identification of the specific parts of the whole market where our particular "product" can and should be most successful. Establishing geographic and demographic goals is an important part of market segmentation.

One of the most useful enrollment management exercises is establishing a goal matrix for inquiries, applicants, accepts, and matriculants for geographic and demographic market segments. With this matrix in hand, the enrollment manager can implement targeted strategies and tactics for the specific segments. Many institutions only establish market segments geographically in the classic primary, secondary, and tertiary definitions. An equally powerful dimension is based on demographic criteria (academics, socioeconomic, ethnicity, etc.). The enrollment manager should want to know not only where students are expected to come from, but also what they will be like.

The enrollment management team should recognize at least three demographic targets:

- main market: students whose profile most closely matches the middle 70-80 percent of current students;
- target market: those above the middle 70-80 percent (based on exemplary merit, particular major, or ethnicity, for example); and
- developmental market: those whom the institution would like to serve but who are below the middle 70-80 percent on some pertinent measure.

Most college administrators wish to maintain the main market and expand the target market. At the same time, a college can serve well only a limited number of persons who require special attention. This includes students in both the developmental and the target markets. Special attention requires an additional investment of institutional resources. For this reason, an enrollment manager must be realistic in setting goals for target and developmental market segments.

A task concurrent to segmentation is positioning—the process of establishing and maintaining a distinctive place in the market for an organization and/or its individual product offerings.¹² Dovel defines the positioning statement as “your path into the prospect’s mind.”¹³

In higher education, positioning has to do with placing our product, education at our college, in the minds of our marketing segments in comparison to other viable options (including not going to any college). This means that we must understand who our competition is in each segment and how our product stacks up against theirs in the minds of prospects. As Lee Noel puts it: “What market position do we own? Who must we outgun?”¹⁴ Only when we have a full grasp of our position within the market segments are we ready to move from goal setting to setting strategies and tactics.

Table 8-6: Admissions Inquiries, Applicants, and Matriculants (New Students)

Category	Ranges	'83-84 CIC Study (percent)	'90-91 CIC Study (percent)	Change (percent, pts.)
Inquiries	Below 3,453	23.8	21.5	-2.30
	3,454-5,300	23.8	10.0	-13.80
	5,301-8,900	25.0	24.0	-1.00
	Over 8,901	27.4	44.5	17.10
Applicants	Below 403	25.3	23.3	-2.00
	404-629	27.0	25.1	-1.90
	630-899	19.1	17.2	-1.90
	Over 900	28.7	34.4	5.70
Matriculants	Below 199	23.0	36.7	13.70
	200-299	28.9	27.9	-1.00
	300-399	20.3	16.8	-3.50
	Over 400	27.8	18.6	-9.20

The next step in setting realistic goals is yield analysis. Most institutions do

a relatively good job of counting noses: the number of applications received, the number of accepted students, and the number of students who show up. They may even be able to give statistics on the conversion of students from each stage. But what is needed is to understand the identifying characteristics of students as they enter at the inquiry level and proceed down the admissions funnel. This information can be of tremendous assistance in improving prospect generation, inquiry management, application processing, and accepted student holding systems.

The FY 1983-84 and 1990-91 surveys of CIC colleges gathered some yield analysis information useful in setting realistic goals. Table 8-6 shows the yield results of inquiries, applicants, and matriculants and summarizes the percentage change in each size of pool. The percentages shown are the number of responding colleges that had that range of yield. Based on these data, the conversion rate from inquiry to applicant was 9.1 percent, from inquiry to matriculant 3.0 percent, and from applicant to matriculant 33.2 percent.

Two recent yield analysis studies provide information that validate the CIC data. Table 8-7 provides comparisons of the data from the CIC survey, the Ingersoll-Williams and Associates, Inc., *Fall 1991 National Enrollment Management Survey* (referred to here as the IWA study) which surveyed 689 colleges and universities of all types, and the Noel-Levitz, Inc., *National Survey of Marketing/Recruiting: 1992 Baccalaureate Edition* (327 responding private colleges and universities).¹⁵

Table 8-7: Comparative Admissions Conversion Rates

Conversion Type	'90-91 CIC Study	IWA Study*	Noel/Levitz**
List Purchase to Inquiry	NA	NA	9.2
Inquiry to Applicant	9.1	16.4	15.1
Inquiry to New	3.0	NA	6.2
Applicant to Accept	NA	75.1	74.9
Applicant to New	33.2	NA	38.9
Accept to New	NA	47.3	51.7

*Using private institutions

**Using private nonprofit institutions

The conversion rates at CIC colleges are much smaller than those in the other two studies. Although part of the difference may be attributable to the definition of terms, it is evident that the small CIC institutions cannot expect conversion rates in keeping with national norms. As an astute enrollment manager looks at these conversion numbers, the size of the task of recruiting students at our small colleges becomes even more evident. Only with benchmarks such as these in hand, can the enrollment manager make realistic projections of what needs to happen at each stage of the admission funnel to yield the right number and mix of students.

Yield analysis deserves even deeper consideration when you are reviewing

the best sources for prospective students. It is my experience that most institutions do not know enough about the prospect and inquiry stages. Too many institutions may be basing decisions on only the visible part of the recruiting iceberg. "Prospects" as used here are those potential students in the marketing segments who could or should view a particular college as a possibility. These prospective students look like current students and those who are desired at the school. "Inquiries" have made some effort to let the college know of their interest, either through overt action (coming to the Admissions Office and asking for application materials) or more passively (including the college on the list of the three schools to receive SAT or ACT scores).

To have a clear view of the institution's admissions funnel, enrollment managers need to know the number of prospects (as much as possible) and inquiries (definitely possible), as well as the sources of contacts. Knowing what works (what produces inquiries; how many inquiries of what types can you expect) is a very significant part of the enrollment data and yield analysis section of the research agenda discussed above.

My research and experience have convinced me that most institutions that are experiencing enrollment pain identify the inquiry-to-applicant conversion and the accepted-student-to-matriculant processes as the areas needing the most attention (normally in that order). Finally and most importantly, institutions that fail to get the right type and number of inquiries at the top of the funnel have very little chance of getting the number and type of matriculants desired at the bottom. While success in prospecting does not guarantee enrollment success, failure in prospecting does guarantee a difficult time in gathering the right number and mix of new enrollees.

6. Develop a solid marketing plan

Planning is the last of the three additional "P's" of marketing that we have included with the traditional four. People (hiring the right people) and prediction (goal setting based on good market research) are the first two. (You could go on with the "P's": patience, persistence, prayer....) But no matter how carefully you assemble the right elements, you cannot start doing marketing "things" without looking carefully at what works and then being very "planful" in implementation. Pollock and Wolf put it very well:

Institutional officials who respond to the enrollment challenges of the next decade by merely doing more—more travel, more open houses, more publications—may be disappointed. Dramatic actions, including evaluation of current efforts, systematic research initiatives, strategic planning initiatives, and centralized coordination of activities and functions seem in order. These actions need to be efficient, effective, and realistic.⁶⁰

Hossler once said: "Successful marketing ultimately rests on the ability of the enrollment manager to develop a set of integrated, systematic marketing activi-

ties."⁴⁷ The research of such scholars as Ray Muston supports the premise that planned enrollment management efforts are more successful. Although he studied state universities, he concluded that "those institutions with centrally coordinated enrollment management plans and strategies experienced measurable gains in their undergraduate enrollment during a four-year period."⁴⁸

The pressing question is whether such planning is happening. Julie Johnson scanned marketing techniques and agreed with other early appraisals—"too much of what was called marketing seemed to be piecemeal, unplanned and reactive."⁴⁹ We know from the FY 1990-91 survey of CIC colleges that a written, budgeted plan was not in place for public relations efforts at slightly over 60 percent of the responding colleges. It would be interesting to ask if the CIC colleges had an enrollment management/marketing plan.

In his discussion of why you should undertake the complicated and time-consuming project of writing and implementing a marketing plan, Robert Sevier notes four good reasons:

- The value of the plan may be found in the process of developing the plan—it forces the asking of difficult questions and educates others to the importance of marketing.
- A marketing plan helps institutions separate myth from reality—the research upon which it is based differentiates between what is true, what appears to be true, and what is hoped.
- The value of writing a marketing plan may be in the resulting document—it becomes a guide to action.
- The marketing plan forces the institution to separate process from product—it causes the planners to explore whether tasks are achieving a legitimate purpose.⁵⁰

Every institution should have a written marketing/recruiting plan that includes at a minimum: a *diagnosis* of the past enrollment effort, a *prognosis* for the future, and a discussion of *strategies* and *tactics* for reaching these goals. (I call this the "dip-stick" approach from the first letter of each point—Diagnosis/Prognosis/Strategies/Tactics. Keep checking that oil!) The plan should use the marketing research discussed earlier; it should have goals, benchmarks, and checkpoints for ongoing monitoring. It should define accountability and enumerate the fiscal implications. Most importantly, it should be ragged, scribbled on, and thoroughly inculcated into the minds of the actors. Ongoing assessments of where we are versus where we said we would be should be happening.

What are some of the specific marketing strategies that should be included in the plan? Leslie Goldgehn reports a "very dramatic increase in the use of marketing techniques."⁵¹ Bruce Carmichael reports that "the enrollment problem has prompted a massive increase in recruiting, promotion, advertising, and retention on most college campuses."⁵² But are the right techniques being used? Ed Cerny writes, "One cannot capriciously use the marketing tools of the business world to solve the problems of nonprofit institutions."⁵³

The comments that follow provide a general overview of current thinking on a few selected marketing strategies and tactics: travel, publications, financial aid, and telecounseling. The footnotes reference numerous authors whose comments delve more deeply into these and other areas than we can accomplish here.

Travel. Travel is one of the largest investments in nearly all recruiting budgets.

In the nonpersonnel budgets of the responding CAC colleges, only printing exceeds travel expense. The Noel/Levitz survey also confirms this. One of the most important actions an enrollment manager can do is to measure the effectiveness of travel for that institution and then act on what the yield ratios show, not on what tradition seems to require. Recruitment travel can be very effective in providing face-to-face contact with interested students, but it must be strategically planned and utilized appropriately.

Jerry Tetreau concluded from his 1989 study of small colleges that "the traditional visit to high schools by a college representative is still widely used, but it is not seen as being very effective."⁵⁴ Based on her research, Catherine Cole estimates that over 75 percent of the average salesperson's time on the road is spent in nonclient contact.⁵⁵ In higher education we might give ourselves the benefit of the doubt and calculate that we may be spending only two-thirds of our travel time without student contact—this makes high school visits a very expensive way to prospect (gather names). Visits can be effective in the conversion of inquiries and applicants, but they can be much more effective when coupled with a solid telecounseling effort. For example, many have increased the show rate of students at a high school presentation by calling to confirm that the student's admissions counselor will be at the high school tomorrow and has some important information on the status of his or her application for admission, financial aid, etc.

College Fairs, College Planning Clinics, College Day/College Nights are an interesting phenomenon. Put scores of colleges and hundreds of students in a gym and mix well. Carol Allie of the University of Arkansas describes this experience as the "Meet, Greet, Grip, and Grin Syndrome." Others complain that students may walk away with hundreds of dollars of publications from colleges they have only the slightest interest in—or none at all. However, the National Association of Collegiate Admissions Counselors states that more colleges are participating in college fairs.⁵⁶ But do they work?

Heckscher states that students view college fairs with indifference.⁵⁷ The lowest rating Jonas found in viewing a wide variety of recruitment tactics from the perspective of the student was reserved for college day/night fair programs.⁵⁸

Again, what an enrollment manager must do is not throw this tactic out, but study it out. CAC colleges are encouraged to decide fair by fair which are worth the costs involved (staff, materials, and follow-up). Remember, coming back with stacks of inquiries is only one small measure of effectiveness. If the conversion rates of inquiries to applicants and applicants to enrollees are better for colleges fairs than for other alternatives, use them.

One of the best ways to organize travel is around the concept of territory management. Territory management encourages entrepreneurship on the part of the counselor. In addition to shared responsibility for the achievement of the college's overall goals, each admissions counselor is accountable for goals within his or her prescribed territory (usually a geographic territory but it could be demographic or a combination of both). This means that each counselor becomes an expert on his or her market segment and area and a spokesperson and advocate for the individuals within that territory.

Territory management results in a prioritization of high schools and feeder colleges, a short list for special attention of priority prospects, and the ongoing

development and implementation of strategies and tactics for targets within that market. This short list of prospects most likely includes those who will be targeted for home visits, special scholarships, and personal follow-up of all kinds. This is where the enrollment manager can really see the benefits of TQM. Empowering, energizing, and enabling your admissions staff will have phenomenal results. It will take time and attention, but it is truly the best approach for much of the recruiting process.

Publications. The investment in publications is the most expensive nonstaff item in both the FY 1990-91 survey of CIC colleges and the Noel-Levitz survey. According to Bissell, "improving recruitment publications" was the one most significant thing that differentiated what admissions staffs desire to do to improve overall recruiting versus what academic administrators thought was needed.¹⁰ This area must be high priority.

Estelvan and Apel provide some powerful insights in improving all types of direct mail in addition to the typical recruitment publications. For example, they state that very few institutions deliver a well-conceived, well-written, and well-designed viewbook to interested students.¹¹ Peter Fenninger summarizes the reactions of a group of his students who critiqued a number of viewbooks. The students found:

- All of the viewbooks looked pretty much alike.
- The copy in most was so superficial that finding a sense of each college's identity was difficult.
- All of the pictures seemed posed and artificial.
- Virtually all of the pieces they looked at had a picture of a famous setting in Europe.
- The gloss and glitz suggested mass creations with a slight name change by a New York ad agency.¹²

In summary, there are at least four principles to keep in mind when you are planning or evaluating your recruitment publications:

First, make sure you are providing an accurate view of your college. Can you deliver on your marketing promises?

Second, in a very personal, user-directed manner, address the issues that students are concerned with. Remember for whom you are writing—not your faculty, administration, or accrediting board, but prospective students who have a lot of choices.

Third, don't just list the features of your institution, but talk about how going to your college will benefit the student. Most high school students are less interested in the percentage of Ph.D.'s on the faculty and the number of books in the library than we think.

Fourth, remember that getting someone to read your nice words requires getting him or her to open the piece in the first place. This depends on name recognition, style, colors, and photographs. Too many institutions spend too much effort on producing copy that very few students read and not enough effort on layout and photographs that grab the attention of the marginally interested viewer.

Financial aid. One of the biggest improvements we can make in small college enrollment management is to involve our financial aid people more completely in the recruitment process. There is no more important partner in the recruiting effort than financial aid. According to a recent study of 210,000 students enrolled

at 421 colleges and universities, neither "financial aid nor personal or family resources are keeping pace with the cost of attending college." Well over half (55 percent) of the students responding to this survey by the Higher Education Research Institute of the University of California chose their institution primarily because of tuition or financial aid.⁶²

What is really surprising, however, is that according to a CASE-commissioned 1988 Gallup Poll, "Respondents between the ages of 15 and 21 think college costs much more than it actually does." Many students overestimated the total cost by a factor of three or more.⁶³ The powerful implication of these findings is that many students who could have enrolled at your college may have written it off because of a misconception of the net cost of attending or because of a lack of financial aid information.

In spite of the importance of financial aid to recruitment, Robinson finds in his study that most of the surveyed admissions and financial aid offices seemed to be independent operations with little communication between them:

- Most institutions had not developed financial aid information packets specifically designed to serve as marketing tools;
- The quality of the materials and the length of time to receive them did not appear to be related to the size or type of institution;
- Some financial aid offices had an apparently lackadaisical attitude toward the letters of inquiry they receive. Some simply did not answer or bother to forward the requests to the admissions office; and
- Much of the literature suggests that financial aid and admissions do not take a team approach in response to student inquiries.⁶⁴

Robinson's findings are astonishing. The ability to pay for college is an incredibly important part of the decision to attend. Those colleges that do not proactively involve financial aid are not just "shooting themselves in the foot"; they have missed so badly it is a fatal shot to the head.

Telecounseling. One of the most powerful student contact tools ever invented is the telephone. It allows a level of personal contact, identification of needs, qualification of interest, and instant feedback in a cost-effective manner that is surpassed by no other method (even face-to-face). Telecounseling is an ongoing, telephone contact effort that seeks to establish a *relationship* through timely conversations with each student at strategic points in the process of deciding to consider, attend, and return to your institution. Telecounseling has been shown to be most effective in a computer-assisted environment.⁶⁵

According to Lee Young, "Institutions who use telemarketing in their recruitment program must have the best interests of students at heart."⁶⁶ It cannot be the one-sided, intrusive process that is practiced by all too many businesses. That's why, in recent years, we've begun to call this "telecounseling" to distinguish it from the unwanted dinner-time solicitation call and to emphasize the two-way, student-need-meeting aspects of the exchange.

In telecounseling, the caller has a definite purpose in mind. He or she makes commitments to send publications or to call back with more information in response to the student's needs. Most importantly, real friendships are made.

There are three types of telecounseling calls:

- relationship-based: calls made in response to earlier commitments;
- calendar-based: calls made because of the time of year (especially useful

in setting appointments for admissions counselors on the road, reminders of upcoming events and deadlines, etc.); and

- funnel-based: calls made because of an action that has occurred or that needs to occur (initial call to qualify inquiry interest, thanks for the application, missing credential, congratulations on acceptance, etc.).

I've watched the development of telecounseling since 1982 and have become convinced of its effectiveness and impact on efficiency. One of its greatest efficiency benefits is its "qualifying" potential. The cic colleges participating in the 1990-91 survey reported that an average of only 3 percent of inquirers enroll. The Noel Levitz survey was a bit more positive at 6.2 percent for all private institutions. Nevertheless, we can say that the vast majority of inquiries do not enroll. The simple act of calling early in the process to qualify the interest of students can save time, effort, publications, and dollars by removing from the active pool, for example, those students who came to the college's presentation at the high school only to get out of math class.

No matter what strategy or tactic you are considering—whether it's purchased name lists, home visits, personalized recruitment videos, receptions, or an advertisement of some sort—the following suggestions should be useful:

1. Look carefully at the conversion ratios from past experience before deciding to utilize or eliminate any strategy or tactic.

2. Shift resources to those efforts that are the most cost-effective.

3. Make every effort to personalize the process.

4. Discover the needs of your inquiries, and package your approach to meet each student's needs as an individual.

5. Make sure that follow-up systems are in place.

6. Make sure that your publications are targeted to your audience and deliver powerful student-centered benefit messages.

7. Ensure that financial aid is a partner.

8. Utilize every opportunity to gather data that will be helpful in later marketing research. If someone is dropping out, find out where they are going and why.

To paraphrase Bonoma and Kosnik, a good way to make sure you are doing the right thing is to remember the six M's of marketing:

- Motive: What is the objective of this effort?

- Market: What is the target market being approached? What are the unique needs of the members of this market?

- Media: Which medium (personal or mass) will provide the maximum coverage and maximum appropriateness?

- Message: What will be the message of this effort? What is the best way to appeal that will lead to the action desired?

- Money: How much will it cost? Is this the best way to use these funds?

- Measure: How will we measure whether the program worked?

The enrollment manager who keeps these points constantly in mind will approach the ideal of a "lean and mean" recruitment function—a truly cost-effective effort.

7. Get the funding support you need

Getting the funding needed for your enrollment management/recruiting effort requires the preparation of good budgets. And preparing good budgets requires an up-to-date understanding of what it takes to recruit students. How much should it cost? This is the area of benchmarking that is so important to TQM; regrettably, it is an area that has not had much exploration or many answers. Although much more information and scrutiny are needed in the whole field, one of the few works in this area is Wesley Willmer's study of the responses of the 190 CIC colleges to his FY 1983-84 survey. Willmer saw the need to identify the cost of recruitment within his study of the overall advancement efforts for smaller colleges. The data from the current survey enables us to analyze how costs have changed over the last seven years.

What are small colleges currently spending on their admissions/recruiting efforts compared to the earlier study? Table 8-8 summarizes respondents' total recruiting expenditures for FY 1983-84 and FY 1990-91. Expenditures include salaries, benefits, travel, media, and promotion.

*Table 8-8: Admissions Expenditures by Enrollment Size (FTE)**

Enrollment	FY 83-84 CIC Study			FY 90-91 CIC Study		
	Low	High	Mean	Low	High	Mean
Up to 500	\$ 50,000	\$ 245,532	\$ 128,795	\$ 15,000	\$ 695,108	\$ 260,729
501-750	10,000	391,393	202,191	104,000	252,081	299,414
751-1,000	80,000	443,462	244,650	30,000	849,492	406,160
1,001-1,250	55,000	614,470	247,841	82,782	804,983	449,658
1,251-1,500	63,254	503,554	269,904	159,999	1,099,502	488,772
1,501-2,000	78,486	457,000	294,761	193,795	994,828	547,128
2,001+	128,557	388,054	261,617	200,894	2,524,612	633,699

*Includes salaries, benefits, travel, and media/promotion expenses

The range of expenditures even among small colleges continues to be great. The range in the earlier study was from a low of \$10,000 to a high of \$614,470. The range of the current study is from \$15,000 to \$2,524,672. The mean for the 1983-84 population was \$235,680. The mean of the current population is \$433,429. This represents an increase of 83.91 percent.

As would be expected, the investment in recruitment programs has increased in all size categories. As Table 8-9 shows, there is a surprising difference in the percentage of growth among various enrollment sizes. Colleges in the 501-750 and 751-1,000 ranges did not keep pace with the others. The largest and the smallest colleges had the most significant growth. Some of the differences can be explained by the change in the study populations—CIC has grown since the 1983-84 survey. But as the increases are consistent over all size categories, the significant finding is that there has been a pronounced increase in the investment

colleges are making in their recruiting/marketing effort.

Table 8-9: Comparison of Mean Admissions Expenditures by Enrollment Size (FTE)

Enrollment	FY 83-84 CIC Study	FY 90-91 CIC Study	Percent Increase
Up to 500	\$ 128,795	\$ 260,729	102.44
501-750	202,191	299,414	48.08
751-1,000	244,650	406,160	66.02
1,001-1,250	247,841	449,658	81.43
1,251-1,500	269,904	488,772	81.09
1,501-2,000	294,761	547,128	85.62
2,001+	261,617	633,699	142.22
Total Population	\$ 235,680	\$ 433,429	83.91

Table 8-10: Specific Admissions Expenditures

Expenditure Category	90-91 CIC Respondents	90-91 CIC Mean Expense	Noel/Levitz Respondents*	Noel/Levitz Mean Expense
Printing	209	\$ 72,279	179	\$ 85,879
Advertising	184	32,905	170	35,818
Other Promotion	151	21,808	131	32,779**
Postage	200	31,598	178	38,756
Travel	209	36,296	192	40,832
Telephone	183	11,035	164	13,204
Selected nonsalary expenses	210	\$ 190,768***	215	NA

*Using private nonprofit institutions

**Includes name lists, receptions, on-campus promotions/programs, etc.

***Mean of reported total, not sum of expenditure means.

The Noel/Levitz survey confirms our measure of the total recruiting expense. The responding baccalaureate degree-granting institutions reported that the mean total recruiting expense of all 327 responding institutions was \$492,250. The mean of the private, nonprofit institutions was \$466,926. This is just a bit higher than the mean of the current CIC survey (\$433,429). Not only did the Noel/Levitz study include some larger institutions, but it asked a more comprehensive set of questions to arrive at a statement of the entire cost of student recruitment. While the survey

of CIC colleges asked institutions to include salary, benefits, travel, media/promotion, etc., the Noel/Levitz survey sought specific values for staffing, travel, advertising and promotion, name lists, publications, telephone, postage, office supplies, training, data-processing and other expenditures (nonfinancial aid). This would make the results a bit higher.

*Table 8-11: Admissions Costs to Matriculate One Student**

Enrollment	FY 83-84 CIC Study			FY 90-91 CIC Study		
	Low	High	Mean	Low	High	Mean
Up to 500	\$ 203	\$ 2,668	\$ 934	\$ 67	\$ 6,185	\$ 2,611
501-750	69	2,885	939	211	7,793	2,017
751-1,000	60	2,065	933	408	5,733	2,177
1,001-1,250	134	1,023	635	234	4,911	1,863
1,251-1,500	140	1,238	585	485	4,345	1,607
1,501-2,000	235	2,243	903	319	3,076	1,521
2,001+	134	1,361	647	464	7,409	2,048

*Includes salaries, benefits, travel, and media/promotion expenses

The FY 1990-91 survey of CIC colleges asked for specificity in some areas of recruiting expenditure. Table 8-10 presents related expenditures for both the CIC colleges and the Noel/Levitz survey.

*Table 8-12: Comparison of Admissions Costs to Matriculate One Student**

Enrollment	FY 83-84 CIC Study	FY 90-91 CIC Study	Percent Increase
Up to 500	\$ 934	\$ 2,611	179.55
501-750	939	2,017	114.80
751-1,000	933	2,177	133.33
1,001-1,250	635	1,863	193.49
1,251-1,500	585	1,607	174.70
1,501-2,000	903	1,521	68.44
2,001+	647	2,048	216.54
Total Population	\$ 796	\$ 1,978	148.49

*Includes salaries, benefits, travel, and media/promotion expenses

Again, a consistent pattern appears when we compare CIC colleges to all other private nonprofit institutions: CIC institutions are more modest in their expenses than the means of all private institutions for the Noel/Levitz survey.

As we view the financial data, one message (among many) comes through loud and clear: Recruiting students is very expensive. As the data show, recruiting success is of high priority and of vital importance to the survival of small colleges. Attracting prospective students is ranked as the most important public relations goal of all the varied goals listed in this study (see Chapter 6). But how much is an institution willing to spend to achieve this goal? How much is spent to recruit each student? Tables 8-11 and 8-12 show that the cost per student has increased significantly in the last few years.

The average cost to recruit each student at the responding ctc colleges has risen from a mean range of \$585 to \$939 to a mean range of \$1,521 to \$2,611. The average of the means in the earlier study was \$796. This has risen 148 percent to an average of the means of \$1,978. In the Noel/Levitz survey the average cost to recruit one student among all institutions was \$1,194. The average cost for private nonprofit colleges was \$1,550. The average cost for the smallest colleges (fewer than 200 new students) was \$2,030; the most expensive colleges (average full-time first year tuition greater than \$9,000) reported an average expense of \$1,912.

With comparative costs in hand, the enrollment manager will be well prepared to develop and defend a realistic budget. Comparison to norms and then establishing benchmarks and targets are fundamental to the TQM approach we discussed earlier. Note that we discussed costs and budgeting after we discussed the development of the marketing plan. The reason is simple: The plan must drive the budget, not the other way around.

Conclusion

In this chapter, we have only begun the process of understanding some fundamental steps in developing a cost-effective enrollment management process. We have seen enrollment management as a powerful partner in the advancement effort of all colleges, small or large. We've touched on organizing, getting the right people involved, quality, research, goal setting, planning, and funding. Much of the structure for this discussion has been strengthened by the literature on Total Quality Management, especially as it has been applied to enrollment management. The majority of the debt for our literature foundation is owed to practitioners of these principles in the "school of hard knocks" (and hard heads) of enrollment management.

Some summary thoughts for small colleges are appropriate at this point. First, implement winning strategies and tactics. It would be tragic to expend the effort we have outlined above and not implement the plan. The strategies and tactics you implement must be the ones that will give the best conversion of students to your college. We do not advocate running with the latest gimmick. Robin Wilson, Bobby Johnson, and Sarah Heckscher all point out the fallacies of that approach.⁶⁶ We need to find out what is working and what can produce results for colleges like ours, implement these strategies, and monitor the results. The DPST approach suggested above (Diagnosis/Prognosis/Strategies/Tactics) will be helpful in this process.

Second, we must personalize the process. Externally, make sure that every

contact, letter, phone call, and publication is designed to meet the prospective student's needs and treat him or her as a real person. Internally, we must get each member of the enrollment management team to invest their talents in the courtship process we call recruiting. Esteban and Apel remind us that we should view the "relationship between a prospective student and an institution as sort of a courtship, as a potential engagement for a future marriage." This courting must be personalized. But over 44 percent of the colleges who sent something to Esteban and Apel's "high school senior" did not write a personal letter. Of those who wrote, most of these gave the prospect several excuses not to read the letter.⁶⁹ We need to work to improve our personalization of the whole enrollment management process.

Third, we must constantly monitor and implement mid-course corrections and adjustments. We need to be measuring ourselves against realistic goals, not just against prior years. Improving slightly from a disastrous year is still a disaster. We need to have a handle on what should be happening, what is happening, and what is cost-effective. As Peter Bryant says, "*Count everything*."⁷⁰ Effective enrollment managers need to rely on good research, both internal to their own operation and from the profession in general. Looking outside higher education into what is happening in marketing, management, and information systems, among others, is also important.

Fourth, we must remember customer satisfaction. Our focus on quality means being student-centered. We must remember what students really need as well as what they want. As you work with a student as a person, it may become clear your institution cannot meet his or her needs. If so, do that student and yourself a favor and offer other alternatives. Creating an expectation and not being able to deliver may put you into a "bait and switch" situation that is a real quagmire. William Greer estimates that as many as 48 percent of the students who attend our small colleges are not attending their first-choice college.⁷¹ A large proportion of students who arrive on our campuses may start out with some disappointment in the recruitment process, some concerns about their final choice, and some elements of potential and real dissatisfaction. We must learn to deal with the issues of customer satisfaction in substantial ways.

The twin sister of recruitment is retention. Student retention focuses on the issue of student satisfaction for the short- and long-term success of our enrollment efforts. Expertise in this area is growing exponentially. Investments in student retention programming are growing, but not at a rate commensurate with the benefits. Remember, one student at six colleges who leaves prematurely as a dissatisfied customer may mean an average of \$10,853 per year of lost revenue, plus the lost revenue of the other people he or she may discourage from coming. While it is expensive to recruit students, comparatively small investments in retention can yield phenomenal results. The reader is encouraged to consult the work of Noel and Levitz, Tinto, Astin, and Hossler for more on this area.⁷²

Finally, enrollment managers need to celebrate successes. There are times when the pressure is intense, but there are also times of excitement and celebration. Find out about the successes of students you enroll. Get excited about successful recruitment programs. We need to let those we work with know that what they do is vital for the lives of hundreds, possibly thousands of students, as well as for the viability and quality of our colleges. Positive attitudes are critically important in maintaining the focus and energy needed for this most challenging

of tasks. Letting the world know that our colleges exist and that they are great places to study, live, and work should be part of an ongoing celebration. Now, let's just do it!

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About the Author

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Glancing Back Briefly to Move Forward Confidently

Wesley K. Willmer and Adam J. Morris

Backpacking is a favorite pastime for many people. It is invigorating to exercise outdoors and realize that you can get along just fine with the few belongings you can carry on your back. One of the pleasant surprises of any trip, after struggling step-by-step, switchback after switchback toward the goal, is to turn around and look in amazement down the trail you've been toiling on and see how far you've come. Often you find yourself thinking, "Wow! Have we really made that much progress?"

The purpose of this chapter is just that—to glance back over 13 years of institutional advancement activities at small colleges, to assess the progress and determine the lessons learned, and to come up with ways to move forward more effectively in the future. This longitudinal look is accomplished by reviewing the results of three different surveys.

As outlined in Chapter 1, all three of the surveys collected information on the institutional advancement activities of the member institutions of the Council of Independent Colleges (CIC), formerly the Council for the Advancement of Small Colleges (CASC). The three surveys covered fiscal years 1977-78, 1983-84, and 1990-91.¹ In some areas, comparisons are only available between the last two studies. Just as looking back down the trail gives perspective, looking back over the years of the survey will show us how dramatically the field of institutional advancement has grown and how sophisticated many small colleges have become in their advancement activities.

In order to understand the environment in which the small college has developed over these 13 years, we need to trace the evolution of the concept of institutional advancement in American higher education. The term "institutional advancement" was basically unknown 25 years ago, although many of the activities of advancement have been going on since the beginning of American higher education. About 70 years ago, the word "development" was first used to describe a long-range fund-raising campaign for a college or university.

The American Alumni Council and the American College Public Relations Association jointly undertook a major study in 1957. Funded by the Ford Foundation, the study was entitled *The Advancement of Understanding and Support of Higher Education*, and it resulted in the "Greenbrier Report." This was the first major national study of the development function, and it led to a more precise definition of what was meant by "development." During the Greenbrier conference, however, a deliberate attempt was made not to use the word "development" because many people associated it with fund raising. While fund raising is certainly an important segment of the total college advancement program (especially at the small college), fund raising is only one of the several purposes of institutional advancement.

In 1969 John Leslie defined advancement as follows: "an umbrella concept typically including public relations activities, alumni programs, fundraising, publications production, and, in some institutions, state and federal liaison, student recruitment, university press operations, central printing and mailing services—to mention a few."²

In 1975 the American Alumni Council (established in 1913) and the American College Public Relations Association (established in 1917) merged to form the Council for Advancement and Support of Education (CASE). The merger was encouraged in part by economic conditions and some duplication of membership and program content between the two organizations. The overriding consideration, however, was that the profession of educational advancement, with its many technical specialties, required unity of purpose and direction in order to fulfill its obligations to schools, colleges, and universities.

In 1977 the *Handbook of Institutional Advancement* (A. Westley Rowland, editor) was published by Jossey-Bass. (A revised and rewritten edition was published in 1986.) This handbook provided credibility and continuity to institutional advancement as a field of study. In this handbook, Rowland states that institutional advancement "encompasses all activities and programs undertaken by an institution to develop understanding and support from all its constituencies in order to achieve its goals in securing such resources as students, faculty, and dollars."³

Institutional advancement programs are now generally organized into six broad areas: institutional relations, fund raising, admissions/recruitment, alumni administration, government relations, and executive management. Institutional advancement as a profession has grown rapidly in size, influence, and effectiveness.

CASE programs and publications continue to increase to satisfy the demand for professional training in this field and to meet the increased sophistication of the marketplace. Advancement is now an established administrative responsibility at practically every institution in the United States, including the many small colleges.

In February 1985, the Greenbrier II Colloquium established a new set of proposals on ethics, research and scholarship, and professional development to help chart the future course of institutional advancement. The 31 recommendations that came out of this meeting have provided direction and vision for the institutional advancement professional in recent years. One of the concerns of the Greenbrier II Colloquium was to "stimulate more research and scholarly activity in advancement."⁴

To put this history in perspective with this current study, the first survey of

CIC colleges (FY 1977-78) was being discussed in A. Westley Rowland's SUNY Buffalo office in the mid-1970s at the same time that he was compiling the first handbook of institutional advancement. This was only about two years after the merger that formed CASE. At this time institutional advancement was barely getting established, and most small colleges were just beginning to develop programs. This longitudinal study gives evidence of real growth in many areas.

There are two limitations to the longitudinal study: (1) The CIC membership has grown significantly and the comparisons are of the total membership, not individual institutions; and (2) as the field has become increasingly sophisticated, so, too, have the survey questions become more sophisticated over the years, and they don't always lend themselves to a one-to-one comparison. Discrepancies such as these are taken into account in the analysis of survey results. It is also important to note that the initial survey (1977-78) was intended as a one-time look at institutional advancement, not as the first of three comprehensive studies.

To assess the longitudinal changes in the small college advancement program, it is important to have a handle on the overall changes in institutional enrollment and R&G budget. Of the 246 responding institutions in FY 1990-91, only 6.1 percent have fewer than 500 FTE students, and 47.4 percent reported fewer than 1,000 FTE students in attendance. As Table 9-1 displays, over 67 percent of the responding institutions have enrollments between 500 and 1,500 FTE students, and 26.7 percent have 1,500 students or more. In general, the data suggest that colleges have become larger.

Table 9-1: Enrollment Comparison

FTE Students	%			Relative Frequency (Percent)			Cumulative Frequency (Percent)		
	'78	'84	'91	'78	'84	'91	'78	'84	'91
Up to 500	29	23	15	21.2	12.1	6.1	21.2	12.1	6.1
501-750	35	45	52	25.5	25.7	21.1	46.7	35.8	27.2
751-1,000	33	40	50	24.1	21.1	20.2	70.8	56.9	47.4
1,001-1,250	19	35	41	13.9	18.4	16.6	84.7	75.3	64.0
1,251-1,500	11	23	23	8.0	12.1	9.3	92.7	87.4	73.3
1,501+	10	24	66	7.3	12.6	26.7	100.0	100.0	100.0

By way of comparison, the FY 1977-78 data show 70.8 percent of the responding institutions with enrollments under 1,000 FTE students. This compares to only 47.4 percent in 1990-91. Just as significant, 21.2 percent of the responding institutions in 1977-78 report fewer than 500 FTE students compared to 6.1 percent in 1990-91. Significant enrollment growth is evident for institutions with 1,000 or more FTE students. In 1991, 52.6 percent reported 1,000 or more students in attendance, compared to only 29.2 percent in 1977-78. For those institutions in the 1,500 and

greater category, 7.3 percent responded in 1977-78 compared to 26.7 percent in 1990-91. As this table shows, there is significant enrollment growth at the larger institutions.

Educational and general budget

Corresponding to growth in student enrollment, budgets have increased proportionately. The size of the E&G budget, displayed in Table 9-2, shows the mean expenditures for responding institutions for all three studies. In 1977-78 the survey mean was only \$3,607,933; in 1990-91 it is \$12,202,353. The trend this study suggests is that the E&G budget almost doubles every seven years.

*Table 9-2: Educational and General (E&G) Budget
by Enrollment (FTE) Comparison*

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 1,563,584	\$ 2,907,179	\$ 5,852,142	274.0
501-750	2,352,783	4,499,334	7,129,896	203.0
751-1,000	3,018,535	5,997,495	9,573,210	217.0
1,001-1,250	4,152,677	7,813,346	12,259,122	194.0
1,251-1,500	4,963,544	7,982,174	15,631,976	214.0
1,501+	5,596,475	11,319,050	22,787,774	307.0

In addition to increases in both enrollment and E&G budget, there have been other interesting trends worth noting over the last 13 years. For example:

- The chief advancement officer has matured; he or she has more experience and education and is older.
- Along with increases in budget allocations and expenditures, administrative and clerical secretarial staffs have increased.
- The majority of advancement functions are managed through one central office.
- The top three advancement functions are fund raising, alumni affairs, and public relations.
- There is a decline in the percentage of small colleges reporting church relations and admissions as part of the advancement program.
- The vast majority of small colleges seek board counsel related to one or more advancement functions.
- The percentage of small colleges relying on outside counsel for their advancement programs has almost doubled.
- More colleges are concerned with institutional effectiveness and are conducting market research on their donor constituency, their primary publication,

and why students attend their college.

- Unrestricted, capital and deferred gift income has increased dramatically.
- Face-to-face, direct mail, and telephone solicitation remain the top three tools for fund raising, and alumni, friends, and foundations are the top three sources of this income.
- The majority of small colleges believe they present a clear and consistent image to their constituents. Image modification continues to lie primarily in the hands of the president.
- Alumni affairs shows significant growth in budget expenditures despite a reduction in administrative and clerical/secretarial staffing.
- The cost to matriculate one student has increased substantially.

These and other observations are outlined in the sections below that treat five functional areas (executive management, fund raising, institutional relations, alumni, and admissions).

Executive management

Institutional advancement has grown significantly in both size and strength since the first CIC survey was conducted in FY 1977-78. To no one's surprise, the majority (78 percent) of responding institutions in 1990-91 state that the functions of advancement are still managed through one central office with fund raising, alumni affairs, and public relations remaining the top three. Overall budget allocations to advancement increased 28 percent since 1977-78, and advancement expenditures have increased as well.

The changing characteristics of the chief advancement officer (CAO) have been interesting to observe over the last 13 years. This longitudinal study suggests that today's manager brings increased experience and advanced academic degrees to today's advancement program. In addition, there has been variation in age and gender.

Working with the chief advancement officer is the staff, both administrative and clerical/secretarial. Both of these areas have shown strong patterns of growth since 1977-78.

The following sections summarize these observations by looking closely at institutional advancement functions, budget allocations, advancement personnel, management considerations, and the characteristics of the chief advancement officer.

Institutional advancement functions. Table 9-3 shows the functions included in the institutional advancement program, along with relevant changes since the initial study in 1977-78. As would be expected, little to no change has taken place for the top three institutional advancement functions over the last 13 years. Fund raising is considered an advancement function by all of the responding colleges (100 percent), followed by alumni affairs (98 percent), and public relations (94 percent). Two areas of noticeable decline are church relations (probably due to more diverse CIC membership) and admissions (now a function of enrollment management and reporting to the president).

Budget allocations for advancement. Institutional advancement is all about cultivating friends, raising funds, and recruiting students, and to do this takes

Table 9-3: Institutional Advancement Function Comparison

Function	Percent			Function	Percent		
	'78	'84	'91		'78	'84	'91
Fund raising	100	98	100	Parents Programs	70	76	70
Alumni affairs	96	97	98	Church Relations	58	62	49
PR/publicity	96	96	94	Admissions	50	42	28
Publications	91	90	90	Govt. Relations	46	43	37
Special events	66	64	79	Conferences	34	30	19
Marketing*	NA	NA	65	Physical Plant Planning	30	18	11
Photographic Services	56	56	55	Placement	9	17	9
				Others	15	NA	13

*New to the advancement function and not listed as an option on the 1977-78 or 1983-84 questionnaires.

money. Table 9-4 reveals the trends by examining the percentage of an institution's budget allocated to advancement. As the data suggest, institutions as a whole have increased their budgetary allotments for institutional advancement. The mean has increased 1.8 percentage points from 6.5 percent in 1977-78 to 8.3 percent in 1990-91.

*Table 9-4: Budget Allocations to Advancement by Enrollment Size (FTE)
(Percent of E&G)*

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	8.6	13.4	11.0	27.9
501-750	7.1	10.3	9.0	26.7
751-1,000	7.2	8.9	9.0	25.0
1,001-1,250	5.5	6.3	8.0	45.4
1,251-1,500	5.8	6.2	7.0	20.6
1,501+	4.9	5.4	6.0	22.4

A general assumption of the industry is that an advancement program needs sufficient budget to be effective. Table 9-5 displays the means of advancement expenditures over the last 13 years. When 1977-78 expenditures are compared

to those of 1990-91, it is not surprising to see across-the-board increases for all institutions. The survey mean in 1977-78 was \$219,979, compared to \$1,093,660 in 1990-91.

Table 9-5: Advancement Expenditures by Enrollment Size (FTE)

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 134,469	\$ 489,596	\$ 569,084	323.0
501-750	168,504	384,044	611,368	262.0
751-1,000	219,230	485,482	822,339	275.0
1,001-1,250	229,816	486,772	952,013	314.0
1,251-1,500	291,910	825,891	1,106,293	278.0
1,501+	275,949	1,139,011	2,500,864	806.0

Considering the total institutional allocation for advancement provides a measure of the total budget size. Table 9-6 divides this total by the percent allocated to each of the four traditional functional areas of advancement. You will notice no significant changes since this question was first asked in 1983-84.

Table 9-6: Advancement Expenditures by Function (Percent)

Function	1983-84 Mean	1990-91 Mean	Difference
Admissions	44.0	45.0	1.0
Fund raising	30.0	30.0	NC*
Institutional relations	17.0	15.0	(2.0)
Alumni affairs	9.0	10.0	1.0

* NC, no change

Advancement office personnel. Table 9-7 compares the mean total administrative staff for the advancement functions of recruitment/admissions, alumni affairs, fund raising, and institutional relations. As expected, the advancement office continues to grow at institutions of varying enrollment sizes. The survey mean in 1977-78 was 5.0 FTE compared to 8.0 FTE in '83-84 and 12.0 FTE in '90-91.

The lifeblood of many small institutions continues to lie in the hands of capable clerical and secretarial staff. Table 9-8 displays the mean growth in clerical/secretarial staff over the last 13 years. Again, advancement offices at institutions of all sizes have experienced staff growth with clerical/secretarial increasing almost 2.0 FTE since 1977-78.

Table 9-7: Advancement Administrative Staff by Enrollment Size (FTE)

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	3.9	5.7	10.5	169.0
501-750	4.5	7.4	9.6	113.0
751-1,000	4.5	8.1	10.9	142.0
1,001-1,250	5.2	9.1	12.2	134.0
1,251-1,500	6.7	8.2	13.2	97.0
1,501+	5.2	9.3	14.5	178.0

Thirteen years ago, 51 percent of the responding institutions reported plans for staff enlargement over the coming two years. That number dropped slightly in 1983-84 to 40 percent and has remained constant through this recent study.

Table 9-8: Advancement Clerical/Secretarial Staff by Enrollment Size (FTE)

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	3.0	3.5	4.0	33.3
501-750	3.4	4.4	4.6	35.2
751-1,000	3.3	4.9	5.6	69.6
1,001-1,250	4.5	5.8	6.4	42.2
1,251-1,500	5.5	4.7	6.9	25.4
1,501+	5.1	6.8	8.3	62.7

Management considerations. At 78 percent of the responding institutions in 1990-91, the institutional advancement functions are managed through one department. This compares to only 63 percent in 1977-78. At 88 percent of the institutions, an active, working board committee is responsible for providing direction for one or more of the advancement functions. This figure continues to climb and has increased 17 percentage points in 13 years.

Some institutions conduct market research in their efforts to maintain effectiveness. Of the responding institutions in 1990-91, 30 percent reported conducting an analysis of their donor constituency (who gives and why). This figure has increased from 19 percent in 1977-78.

When asked if a readership survey of the institution's primary publication had taken place in the last three years, 19.7 percent responded positively in 1977-

78. In 1990-91, this figure climbed to 24 percent.

The greatest percentage of institutional advancement research has been directed towards the recruitment/admissions function. In 1983-84 and again in 1990-91, 77 percent of the responding institutions reported that they had conducted studies in the last three years to determine why students attend their college.

Many institutions also rely on professional consultants to assist in the planning and development of advancement programs. There is a definite trend towards using consultants; the percentage has almost doubled in 13 years from 44 percent in 1977-78 to 80 percent in 1990-91.

Characteristics of the chief institutional advancement officer. The characteristics of the chief advancement officer have been interesting to track for the past 13 years. The overwhelming majority (96.6 percent) of chief officers still report to the president, an increase from 93 percent in 1977-78.

Over 97 percent of the chief advancement officers serve as members of the executive policy-making group for the institution, and at 81 percent of the surveyed institutions, the institutional advancement office has a written statement of objectives. There is no change in either of these areas since the initial study 13 years ago.

Trends. In 1990-91 the position of chief advancement officer is being filled by a professional with unique characteristics. The majority of the chief officers (55.7 percent) have been at their institutions fewer than five years, an increase of more than 12 percent since 1977-78. Over 58 percent of chief officers have been in their present position for three years or fewer (no significant change since 1983-84). More than one-third of these managers (39.8 percent) bring more than 15 years of experience to the job. This figure compares to 20.8 percent for the survey respondents just seven years ago.

The data indicate that 54.9 percent of the chief advancement officers are between the ages of 37-49, compared to only 31 percent in 1977-78. In addition, the percentage of officers 56 years of age and over climbed 10 percentage points to 21.9 percent. Only 13 percent of these officers were women in 1977-78, while today that figure has grown to 21 percent.

The CAO's educational background has remained relatively constant over the years: 27 percent hold a bachelor's degree, 36 percent a master's degree, and 27 percent have a doctorate. The academic major of highest degree remains unchanged as well with an average 45.6 percent in the humanities, 25.7 in education, and 20.5 with majors in business.

Fund raising

When 191 small colleges were first surveyed in 1977-78, the fund-raising function of institutional advancement was building momentum. The basics—face-to-face donor visitation, direct mail, and telephone solicitation—were being implemented to sustain cash-flow and meet the unrestricted, capital, and deferred-gift income goals. The longitudinal study shows that the basics are still being implemented in 1990-91, just as they were 13 years ago, but with a much higher degree of creativity and sophistication.

The research indicates that there has been a significant degree of growth in the fund-raising function since 1977-78. Expenditures have increased 91 percent

over seven years, professional staffing has increased by 0.5 FTE, and there has been significant growth in both unrestricted and capital giving.

From 1977-78 to 1990-91, the data show that unrestricted income climbed 186.4 percent to a 1990-91 survey mean of \$1,107,851. Capital income grew from 1977-78 to 1990-91 as well, with an increase of 353.4 percent, to a 1990-91 survey mean of \$1,429,940. It is interesting to note that with such significant growth, the cost to raise a dollar of gift income increased only \$.06 in the last seven years.

Alumni, friends, and foundations remain the top three sources of income for all small colleges surveyed since 1977-78. A belief in the institutional mission, a trust and/or loyalty to the college, and strong feelings related to institutional quality continue to be the top reasons that constituents lend their financial support.

Many additional observations can be made when we look longitudinally at the fund-raising function in terms of budget expenditures, fund-raising personnel, unrestricted-gift income, capital gift income, sources of income, major gifts, fund-raising costs, and, finally, fund-raising activities.

Budget expenditures for fund raising. The adage that "it takes money to make money" still rings true in today's institutional advancement office. Without sufficient funding for fund-raising programs, overall effectiveness is bound to be hampered. Table 9-9 outlines the means for the small colleges surveyed in 1983-84 and 1990-91. Significant growth has taken place: the 1983-84 mean of \$155,196 has almost doubled to \$301,502 in 1990-91. It is important to note that these figures include salaries, benefits, travel, etc.

Table 9-9: Fund-raising Expenditures by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 114,186	\$ 190,075	66.4
501-750	129,687	195,691	50.8
751-1,000	139,839	250,447	79.0
1,001-1,250	137,611	293,832	113.5
1,251-1,500	179,891	382,369	112.5
1,501-2,000	188,336	388,539	106.3
2,001+	196,865	409,566	108.0

Fund-raising personnel. Sufficient administrative and clerical/secretarial staff are major components to any successful fund-raising effort. Table 9-10 displays comparative data from 1983-84 and 1990-91 on administrative staff by enrollment size. Across-the-board increases are shown, but at minimal amounts. The mean in 1990-91 is 3.5 FTE, a slight increase from 3.0 FTE in 1983-84.

Table 9-11 shows the means for both 1983-84 and 1990-91 on clerical/secretarial staffing. The mean for 1983-84 was 2.4 FTE compared to 2.3 FTE in 1990-91. This signifies a slight decrease, but again communicates no significant change in fund-raising personnel over the last seven years.

Table 9-10: Fund-raising Administrative Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	2.3	2.7	17.3
501-750	2.3	2.5	8.6
751-1,000	2.8	2.9	3.5
1,001-1,250	2.7	3.5	29.6
1,251-1,500	3.1	4.0	29.0
1,501-2,000	3.9	4.8	23.0
2,001+	4.0	4.4	10.0

Unrestricted gift income. Tuition, on the average, covers 70 to 95 percent of the costs at a small college. Unrestricted gift income is the balance that makes up the budget—a critical priority for small college fund raisers. Table 9-12 displays the means for unrestricted gift income by enrollment size. Significant across-the-board growth has taken place; the 1977-78 mean of \$416,844 more than doubled to \$1,107,851 in 1990-91.

Although 92 percent of the respondents in each of the surveys do not have a legally separate foundation for the purpose of raising funds, 70 percent of the 1990-91 respondents are members of an association of colleges organized to raise funds. This figure has dropped 3 percentage points since 1977-78. At these member colleges, 11.7 percent of unrestricted giving can be accounted for by the association; this represents no significant change since the initial survey was conducted 13 years ago.

Table 9-11: Fund-raising Clerical/Secretarial Staff by Enrollment Size (FTE)

Function	1983-84 Mean	1990-91 Mean	Difference
Up to 500	1.7	1.5	(0.2)
501-750	2.0	1.7	(0.3)
751-1,000	2.1	2.0	(0.1)
1,001-1,250	2.4	2.3	(0.1)
1,251-1,500	2.2	2.6	0.4
1,501-2,000	3.1	3.6	0.5
2,001+	3.7	2.5	(1.2)

Table 9-12: Unrestricted Gift Income by Enrollment Size (FTE)

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 274,575	\$ 570,488	\$ 1,189,663	333.2
501-750	295,342	661,536	1,000,468	238.7
751-1,000	358,632	884,140	1,015,146	183.0
1,001-1,250	515,416	676,737	1,340,655	160.1
1,251-1,500	581,971	725,008	989,078	69.9
1,501+	475,129	652,770	1,112,100	134.0

Capital gift income. Above and beyond the unrestricted income needs to balance the budget, ongoing capital needs are often met with special project-restricted income. Table 9-13 compares the means of capital gift income by enrollment size for the last 13 years. The mean for 1977-78 was \$484,231, which nearly tripled by 1990-91 to \$1,429,940.

Table 9-13: Capital Gift Income by Enrollment Size (FTE)

Enrollment	1977-78 Mean	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 159,730	\$ 845,933	\$ 830,358	419.8
501-750	234,114	571,939	1,501,131	541.1
751-1,000	303,531	766,712	875,069	188.2
1,001-1,250	1,218,383	922,246	1,674,971	374.7
1,251-1,500	405,930	833,127	2,175,765	435.9
1,501+	583,701	760,426	1,522,347	160.8

When asked in 1977-78 if a capital campaign was conducted in the previous three years, 42 percent of the respondents said "yes." This figure, not surprisingly, increased to 66 percent in 1990-91. When asked if there were plans for a capital campaign in the next three years, 72 percent said "yes" in 1977-78, compared to 81 percent in 1990-91.

There is an increased emphasis on raising capital gift income and a decreased emphasis on raising unrestricted income. Although there has been significant growth in unrestricted income since 1977-78, the 246 respondents in 1990-91 reported 50 percent of their fund-raising efforts directed toward unrestricted income, a decrease from 64 percent in 1977-78.

Gift income by source. Numerous constituent sources provide the necessary gift income to small colleges. Table 9-14 shows a 13-year comparative analysis of gift income by source. Alumni have taken the lead in 1990-91 by providing 17 percent of the needed income. Trustee giving and income generated from parents have increased as well. The "other" category shows the largest increase and is most representative of deferred gift income. (Active solicitation of wills/bequests, annuities, and trusts have increased from 69 percent in 1977-78 to 80 percent in 1990-91.) Overall, the gift income figures have changed only slightly since the initial survey was conducted.

Table 9-14: Gift Income by Constituency Source (Percentage)

	1977-78	1983-84	1990-91
Alumni	14.0	15.0	17.0
Other friends	16.6	17.0	15.0
Foundations	13.7	16.0	12.0
Business	12.2	13.0	10.0
Churches	12.0	8.0	10.0
Government grants	10.7	6.0	10.0
Trustees	8.8	8.0	10.0
Parents	2.4	2.0	3.0
Faculty	2.4	2.0	2.0
Students	1.1	2.0	1.0
Other	6.1	4.0	10.0

Major gifts. The most effective way to raise larger gifts from individuals is by making face-to-face calls. In 1983-84 and again in 1990-91, a survey question sought to find out who at the typical small college was calling on \$1,000-plus donors. Respondents in 1990-91 said staff made 46.4 percent of the calls, an increase over the 1983-84 response of 38.2 percent. The president made 32 percent of the \$1,000-plus calls in 1990-91 (no increase from 1983-84). Trustees' calls remained constant from 1983-84 to 1990-91, accounting for 10.7 percent. Calls by volunteers dropped from 11.6 percent in 1983-84 to 9.6 percent in 1990-91, and participation from other friends of the college dropped from 5.9 percent to 1.3 percent.

The surveys show that the primary reasons major donors support small colleges have not changed since 1983-84. The top reason is a belief in the institutional mission, followed by trust and loyalty to the college, the quality of the institution, and, finally, community responsibility.

Trustees can play a major role in assisting the fund-raising activities of the small

college, especially in the area of major gifts. Overall, institutional advancement officers surveyed are satisfied with trustee involvement. Slightly over 70 percent of the 1983-84 respondents were satisfied with trustee participation in deciding fund-raising policy. In 1990-91, this figure climbed to 78 percent.

Again in 1983-84, 70.4 percent of institutional advancement officers surveyed were satisfied with the financial commitments of their trustees. In 1990-91, however, this figure dropped slightly to 65 percent. Soliciting new donors frequently involves trustees, and 48 percent of the responding institutions in 1983-84 and 1990-91 express some level of satisfaction in this area.

Fund-raising costs. Determining the cost to raise a dollar of gift income provides the small college advancement program with a benchmark by which to measure fund-raising efficiency. Table 9-15 compares the costs in 1983-84 and 1990-91. You will notice across-the-board growth as the mean fund-raising cost for 1983-84 of \$0.11 per dollar raised increased to \$0.17 by 1990-91. Table 9-16 shows the percentage of institutional funds (E&G) needed to raise these funds. The figures in 1990-91 were slightly lower than those in 1983-84, but the survey mean has remained constant at 3.0 percent.

Table 9-15: Cost to Raise a Dollar of Gift Income

Gift income raised	1983-84 Cost to raise (per dollar)	1990-91 Cost to raise (per dollar)	Difference
Less than \$400,000	\$ 0.34	\$ 0.46	\$ 0.12
\$401,000-700,000	0.26	0.36	0.10
\$701,000-1,200,000	0.18	0.23	0.05
\$1,200,001-1,600,000	0.14	0.17	0.03
\$1,600,001+	0.07	0.11	0.04

Fund-raising activities. The research shows no significant deviation in priority away from the typical fund-raising activities. The survey groups consider personal contact to be the most profitable activity to generate income, followed by direct mail, phonathons, and special events.

A successful direct mail program is at the heart of the annual fund program for the majority of small colleges. Knowing whom to mail to and how often presents one of the greatest challenges. The size of the small college mailing list varies widely, but has increased steadily from a mean of 13,238 in 1977-78 to 15,227 in 1990-91.

Significant increases have taken place in mailing frequency to various constituent groups since this information was first gathered in 1983-84. Of all responding institutions in 1990-91, 65.6 percent reported mailing general fund-raising appeals to their constituents, an increase of 22.3 percentage points from 1983-84.

In 1990-91, 72.4 percent of the major donors received an appeal for funds once or twice during the year. This figure was a dramatic increase from 46.1 percent

in 1983-84. The percentage of major donors receiving three, four, or five appeals during 1990-91 also increased to 23.5 percent from 13.8 percent in 1983-84.

Table 9-16: Percent of E&G Funds Spent on Fund Raising by Total Income (Capital and Unrestricted)

Income	1983-84 Mean (Percent)	1990-91 Mean (Percent)	Difference
Less than \$400,000	2.0	1.0	(1.0)
\$401,000-700,000	2.8	2.0	(0.8)
\$701,000-1,200,000	3.6	3.0	(0.6)
\$1,200,001-1,600,000	3.0	2.0	(1.0)
\$1,600,001+	3.6	3.8	0.2

Of the surveyed institutions in 1990-91, 59.6 percent reported soliciting current donors one to two times annually, an increase of more than 22 percent from 1983-84. The percentage of institutions mailing one or two appeals to lapsed donors increased as well, from 40.4 percent in 1983-84 to 73.6 percent in 1990-91. Direct mail is a widely used tool for new donor acquisition, and in 1990-91 76.9 percent of the responding institutions reported mailing one or two appeals annually to the nondonor file, compared to 36.8 percent in 1983-84. First-time donors are also mailed to at an ever-increasing rate. The percentage of first-time donors who are solicited one or two times annually increased 56.7 percentage points from 23.1 percent in 1983-84 to 79.8 percent in 1990-91.

A vital link to the direct mail process is the small college's method of acknowledgment. Timing is of the utmost importance once a gift is received. Many institutions work diligently to acknowledge a gift in a relatively short period of time. The ideal turnaround time is within 24-48 hours after a gift is received. Our study in 1977-78 showed 76 percent of the small colleges acknowledging gifts within 72 hours or three days. By 1990-91, only 68 percent of responding institutions were acknowledging gifts within this 72-hour time frame.

Institutional relations

The institutional relations office has gained momentum since data were first gathered on this function in 1983-84. The need to effectively communicate and respond to the diverse pressures facing higher education is great, and the research gathered over the past seven years shows the reaction of today's small college.

The data show a very healthy increase in institutional relations expenditures. The survey mean of \$91,460 in 1983-84 grew about 68 percent to \$153,476 by 1990-91. Staffing, both administrative and clerical/secretarial, increased 22 percent and 19 percent respectively. Eighty percent of the responding institutions in both

1983-84 and 1990-91 believe that they present a clear, consistent image to their various constituents. Attracting new students remains a top priority.

Detailed information on these survey findings are discussed below in the sections on budget allocations, personnel, image development, and institutional relations goals.

Budget allocations for institutional relations. Table 9-17 displays the mean institutional relations expenditures by enrollment size for 1983-84 and 1990-91. Across-the-board increases are visible, and the survey mean of \$91,460 in 1983-84 has climbed 68 percent to \$153,476 in 1990-91.

Table 9-17: Institutional Relations Expenditures by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 49,445	\$ 85,758	73.4
501-750	67,422	76,678	13.7
751-1,000	74,954	116,285	55.1
1,001-1,250	89,598	128,371	43.2
1,251-1,500	102,737	182,224	77.3
1,501-2,000	110,837	185,936	67.7
2,001+	145,233	299,059	105.9

Institutional relations personnel. The 1983-84 and 1990-91 surveys looked at the administrative and clerical/secretarial staffing of the institutional relations function. Table 9-18 displays the administrative staff by enrollment size. The mean administrative staff of 1.8 FTE in 1983-84 grew to 2.2 FTE by 1990-91.

Table 9-18: Institutional Relations Administrative Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	0.9	1.7	0.8
501-750	1.6	1.5	(0.1)
751-1,000	1.8	1.8	NC
1,001-1,250	2.0	2.0	NC
1,251-1,500	2.1	2.5	0.4
1,501-2,000	2.2	2.7	0.5
2,001+	2.0	3.2	1.2

The relatively small number of administrative staff at the responding colleges

corresponds to the small base of clerical/secretarial support (Table 9-19). The mean number of clerical/secretarial staff in 1983-84 was 0.92 FTE; it grew slightly to 1.1 FTE in 1990-91.

Image development. Constituent response to the college is firmly rooted in the image that has been developed and communicated through the institutional relations function. Both in 1983-84 and in 1990-91, survey questions attempted to assess image perceptions and perceived need for image modification. Eighty percent of both the 1983-84 and the 1990-91 respondents felt that their institutions presented a clear and consistent image among various publics. When asked to respond to the statement, "I think that our image should be modified to more adequately satisfy the needs of our clientele," 51 percent of both 1983-84 and 1990-91 respondents either disagreed or strongly disagreed.

The respondents' perception of who is responsible for image modification changed slightly from the 1983-84 survey to the recent one. Respondents still feel that the president carries considerably more of the responsibility than anyone else (48 percent in 1990-91 and 46.2 percent in 1983-84). According to respondents, however, the advancement office is becoming more and more responsible, climbing 5.2 percentage points to 22 percent in 1990-91. The board in 1990-91 now carries 11 percent of the responsibility as compared to 21.2 percent in 1983-84, and the board and president together represent 19 percent in 1990-91 compared to 15.8 percent in 1983-84.

*Table 9-19: Institutional Relations Clerical/Secretarial Staff
by Enrollment Size (FTE)*

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	0.5	1.0	0.5
501-750	0.7	0.7	NC
751-1,000	0.9	0.9	NC
1,001-1,250	1.0	0.9	(0.1)
1,251-1,500	1.1	1.1	NC
1,501-2,000	1.2	1.3	0.1
2,001+	1.1	1.1	NC

When asked if the institution had a public relations advisory group comprised of people outside the institution (other than trustees), 28.4 percent answered "yes" in 1990-91, an increase from 22 percent in 1983-84.

Institutional relations goals. In the three surveys dating back to 1977-78, small colleges were asked to rank the goals of institutional relations. The top four have remained constant through all the surveys. In descending order of importance, they are:

- attracting new students;

- building and holding goodwill for the institution;
- fund-raising; and
- improving the college's academic reputation.

It is interesting to note that attracting new students is ranked first even though only 56 percent of the institutional relations offices at the responding colleges are responsible for recruitment literature. This figure has actually decreased from 58 percent in 1977-78.

Alumni affairs

The alumni affairs office has not changed dramatically in the seven-year timespan since this function was first researched. By way of longitudinal comparison, there has been a 77.5 percent increase in expenditures, but a reduction in both administrative and clerical/secretarial staff. The sections that follow discuss the findings from the 1983-84 and 1990-91 surveys in the areas of alumni budget allocations, personnel, and program ownership.

Budget expenditures for alumni affairs. Table 9-20 shows institutional expenditures for alumni affairs by enrollment size. Across-the-board growth has taken place since this question was first asked in 1983-84; the mean expenditure grew \$37,332 to \$85,427 in 1990-91.

Table 9-20: Alumni Affairs Expenditures by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 28,902	\$ 61,469	112.6
501-750	38,305	52,571	37.2
751-1,000	48,868	73,868	51.1
1,001-1,250	49,732	88,575	78.1
1,251-1,500	52,679	94,186	78.7
1,501-2,000	56,629	114,646	102.4
2,001+	61,615	112,677	82.8

Alumni affairs personnel. Survey results from 1983-84 and 1990-91 provide data on staff sizes for the alumni function at the small college. Table 9-21 displays the means of administrative staff in the alumni area. You will notice very little change in the seven-year span between surveys; in 1990-91 the mean dropped to 1.1 FTE from 1.2 FTE in 1983-84.

Table 9-21: Alumni Affairs Administrative Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	1.0	1.0	NC
501-750	1.0	1.0	NC
751-1,000	1.3	1.1	(0.2)
1,001-1,250	1.4	1.0	(0.3)
1,251-1,500	1.1	1.1	NC
1,501-2,000	1.2	1.2	NC
2,001+	1.4	1.3	(0.1)

Table 9-22 shows that a proportionate decrease in clerical/secretarial staff took place in 1990-91 as well. The mean dropped to 0.96 FTE from 1.2 FTE in the 1983-84 survey.

Table 9-22: Alumni Affairs Clerical/Secretarial Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	1.2	0.9	(0.3)
501-750	1.1	0.8	(0.3)
751-1,000	1.2	0.9	(0.3)
1,001-1,250	1.1	1.0	(0.1)
1,251-1,500	1.2	1.0	(0.2)
1,501-2,000	1.3	1.1	(0.2)
2,001+	1.5	1.1	(0.4)

Ownership. Of the respondents to the 1990-91 survey, 81 percent do not have a legally incorporated, independent alumni association. This figure has remained unchanged since the initial survey in 1977-78.

Admissions

In 1977-78, when research was first conducted on the functions of institutional advancement, 50 percent of the responding institutions included the activities of

recruitment/admissions. Although the figure dropped to 42 percent in 1983-84, it was expected to gain momentum and recognition in the years that followed. By 1990-91, however, only 28 percent of the responding institutions viewed recruitment/admissions as an extension of the advancement office.

Nevertheless, the recruitment/admissions function has gained enormous strength since the late 1970s. Expenditures have increased 102.4 percent in seven years, and staff has grown on both the administrative and clerical/secretarial levels. As institutions grow, so do the number of inquiries, applicants, and matriculants. The survey findings in 1983-84 and 1990-91 show a trend of increased inquiries and applicants at larger institutions and a larger number of matriculants at smaller colleges. The cost to matriculate a student shows significant signs of growth as well; this figure has nearly tripled in seven years. The discussion below addresses these findings in greater detail.

Budget expenditures for recruitment/admissions. Table 9-23 summarizes the total recruitment/admissions expenditures by enrollment size for the 1983-84 and 1990-91 respondents. The mean of \$235,680 in 1983-84 increased to \$481,518 in 1990-91. It is important to note that all figures include salaries, benefits, travel, and media/promotion expenses.

Table 9-23: Admissions Expenditures by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 128,795	\$ 260,729	102.4
501-750	202,191	316,635	56.6
751-1,000	244,650	406,160	66.0
1,001-1,250	247,841	617,553	149.1
1,251-1,500	269,904	488,722	81.0
1,501-2,000	294,761	647,128	119.5
2,001+	261,617	633,699	142.2

Recruitment/admissions personnel. When asked about enrollment growth in the next three years, 80 percent of the respondents in both 1983-84 and 1990-91 said they anticipated an increased student population. Much of this growth lies in the hands of the admissions/recruitment staff. A vital link to this staff is effective leadership of the manager.

Table 9-24 compares the mean number of administrative staff who reported to the recruitment/admissions manager in 1983-84 and 1990-91. You will notice increases at all enrollment levels, with the 4.8 FTE survey mean of 1983-84 growing to 6.3 FTE by 1990-91.

Table 9-24: Admissions Administrative Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	3.0	5.2	2.2
501-750	4.6	5.0	0.4
751-1,000	4.7	6.0	1.3
1,001-1,250	4.8	5.9	1.1
1,251-1,500	4.9	7.1	2.2
1,501-2,000	6.3	7.0	0.7
2,001+	5.7	7.8	2.1

The admissions clerical/secretarial staff showed very minimal growth from 1983-84 to 1990-91, increasing only 0.2 FTE to 2.8 FTE.

Table 9-25: Admissions Clerical/Secretarial Staff by Enrollment Size (FTE)

Enrollment	1983-84 Mean	1990-91 Mean	Difference
Up to 500	1.7	1.5	(0.2)
501-750	2.2	1.9	(0.3)
751-1,000	2.3	2.8	0.5
1,001-1,250	2.3	2.8	0.5
1,251-1,500	2.6	3.1	0.5
1,501-2,000	3.5	3.5	NC
2,001+	4.0	4.3	0.3

Inquiries, applicants, matriculants. One of the greatest challenges of the recruitment/admissions effort is to turn inquiries and applicants into matriculated students. Table 9-26 displays the related figures and shows a comparative analysis for 1983-84 and 1990-91.

In 1983-84, 23.8 percent of the surveyed institutions reported fewer than 3,453 inquiries. This number dropped 2.3 percentage points by 1990-91 to 21.5 percent. At the top of the range, colleges with inquiries greater than 8,901, significant growth has taken place; there has been a 62.4 percent increase in the seven years.

The next step in the recruitment model is to turn these inquiries into applicants. Very little change has taken place regarding the number of applications being processed at small colleges. The only category showing growth is those institutions processing more than 900 applications. In 1983-84 when this information was first collected, 28.7 percent of responding institutions fell into this 900-plus applications category. By 1990-91, this figure grew to 34.4 percent.

Table 9-26: Admissions Inquiries, Applicants, and Matriculants (New Students)

Category	Ranges	'83-84 (percent)	'90-91 (percent)	Percent change
Inquiries	Below 3,453	23.8	21.5	(9.6)
	3,454-5,300	23.8	10.0	(57.9)
	5,301-8,900	25.0	24.0	(4.0)
	Over 8,901	27.4	44.5	62.4
Applicants	Below 403	25.3	23.3	(7.9)
	404-629	27.0	25.1	(7.0)
	630-899	19.1	17.2	(9.9)
	Over 900	28.7	34.4	19.8
Matriculants	Below 199	23.0	36.7	81.3
	200-299	28.9	27.9	(3.4)
	300-399	20.3	16.8	(17.2)
	Over 400	27.8	18.6	(33.0)

Table 9-27: Admissions Costs to Matriculate One Student

Enrollment	1983-84 Mean	1990-91 Mean	Percent Increase
Up to 500	\$ 934	\$ 2,611	179.5
501-750	939	2,017	114.8
751-1,000	933	2,177	133.3
1,001-1,250	635	1,863	193.3
1,251-1,500	585	1,607	174.7
1,501-2,000	903	1,521	68.4
2,001+	647	2,048	216.5

Finally, how many of these applicants have become tuition-paying students? In 1983-84, the majority (51.9 percent) of the surveyed small colleges fell into the less than 299 matriculant category. By 1990-91, this number increased to 69.6 percent. The comparative data show a definite shift downward in the number

of applicants being converted into matriculated students.

Cost to matriculate one student. A benchmark for effective admissions management is what it costs to matriculate one student. By dividing the total admissions expenditures (including salaries, benefits, travel, and media/promotion) by the number of students who actually matriculated, we can arrive at this figure. Table 9-27 shows the means for 1983-84 and 1990-91, based on enrollment size. You will notice a dramatic difference in just seven years as the mean cost more than doubled—from \$796 in 1983-84 to \$1,977 in 1990-91.

Concluding remarks

As this chapter has reviewed, many of the trends of the last 13 years show significant progress for small college advancement—greater acceptance, authority, and sophistication of programs. While the challenges of the past 13 years have been great, the prospect for even greater challenges in the years that lie ahead seems clear.

Managers are going to have to produce more with less money, and the competition is going to intensify. Sticking with the basics is going to be critical; doing a few things well, emphasizing institutional strengths, becoming market sensitive, and emphasizing programs that develop long-term relationships—these are just a few of the tasks we have before us.

The climb is only partially completed for small college advancement personnel. While glancing back may make us feel that we've come a long way in the last 13 years, we're only partway up the mountainside, and there is a long climb ahead. Thirteen years from now, we'll probably be looking back in amazement at how far we've come. The key for today is to continue to move steadily forward, one step at a time, on this important journey.

Notes

¹ Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: Council for Advancement and Support of Education, 1981); Wesley K. Willmer, *A New Look at Managing the Small College Advancement Program* (Washington, DC: Council for Advancement and Support of Education, 1987).

² John W. Leslie, *Focus on Understanding and Support: A Study in College Management* (Washington, DC: American College Public Relations Association, 1969), 3.

³ A. Westley Rowland, ed., *Handbook of Institutional Advancement* (San Francisco: Jossey-Bass, 1986), xiii.

⁴ Council for Advancement and Support of Education, "The Greenbrier II Colloquium: A Report," *CURRENTS*, September 1985, 15-18.

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Wesley K. Willmer and Adam J. Morris have worked closely in institutional advancement since early 1990, and for this chapter they have combined their wisdom and energy with years of related experience.

Morris has spent his entire career working in small college advancement and has received widespread recognition for his involvement in the nonprofit sector. In 1989 Morris was the youngest recipient of the Southern California Carnation Award for outstanding leadership in fund raising and volunteerism. He also received recognition from former President George Bush and was granted a national "Point of Light" award for his significant service to the community.

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Wesley K. Willmer has more than 20 years of experience in small college administration and was the 1986 recipient of CASE's Alice Beeman Award for his significant contributions in research and writing. More recently, Willmer was selected among the CASE membership to serve on the Commission on Philanthropy.

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This Bibliography is provided to enable researchers and writers to access the professional literature pertaining to small college advancement. Searches used to compile this bibliography included: (1) ERIC searches, (2) CASE CURRENTS index, (3) references from applicable doctoral dissertations, (4) research efforts from the individual chapter authors, and (5) the references from other published works on small college advancement.

While probably no work can be considered exhaustive, we hope this will provide a significant measure of encouragement to those who want to pursue research and writing to assist small college advancement efforts to become more effective.

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Sue Wake, Vice President for Institutional Advancement

DAKOTA WESLEYAN UNIVERSITY, Mitchell, South Dakota
James B. Beddow, President

DANA COLLEGE, Blair, Nebraska
Myrvin Christopherson, President

DAVIS & ELKINS COLLEGE, Elkins, West Virginia
William N. Johnston, Executive Director of Development

THE DEFIANCE COLLEGE, Defiance, Ohio
Joel Daniels, Vice President for Administration

DOMINICAN COLLEGE OF SAN RAFAEL, San Rafael, California
M. Aquinas Nimitz, Vice President of Institutional Research

DORDT COLLEGE, Sioux Center, Iowa
Lyle A. Gritters, Vice President for College Advancement

DRURY COLLEGE, Springfield, Missouri
John E. Moore Jr., President

EASTERN COLLEGE, St. Davids, Pennsylvania
David Mitchell, Vice President for Development

EASTERN MENNONITE COLLEGE, Harrisonburg, Virginia
Robert M. Bontrager, Director of Enrollment Management

ELMIRA COLLEGE, Elmira, New York
None listed

WINNING STRATEGIES

ELON COLLEGE, Elon College, North Carolina
Robert G. Anderson, Special Assistant to the President

EMMANUEL COLLEGE, Boston, Massachusetts
Dianne P. Alexander, Assistant to the President

EUREKA COLLEGE, Eureka, Illinois
George A. Hearne, President

FELICIAN COLLEGE, Lodi, New Jersey
Theresa Mary Martin, President

FERRUM COLLEGE, Ferrum, Virginia
Jerry Boone, President

FONTBONNE COLLEGE, St. Louis, Missouri
Meneve Dunham, President

FRANCISCAN UNIVERSITY OF STEUBENVILLE, Steubenville, Ohio
Patty Riska, Secretary to the Executive Director of Student Services

FRANKLIN COLLEGE OF INDIANA, Franklin, Indiana
Ted Grossnickle, Vice President of Development and Public Affairs

FRANKLIN PIERCE COLLEGE, Rindge, New Hampshire
John J. Cunningham, Assistant to the President

GANNON UNIVERSITY, Erie, Pennsylvania
Christine Larkin, Administrative Assistant

GARDNER-WEBB COLLEGE, Boiling Springs, North Carolina
M. Christopher White, President

GEORGE FOX COLLEGE, Newberg, Oregon
Eduard F. Stevens, President

GORDON COLLEGE, Wenham, Massachusetts
R. Judson Carlburg, Senior Vice President of Development

GOSHEN COLLEGE, Goshen, Indiana
Ron Gunden, Director of College Relations

GRACE COLLEGE, Winona Lake, Indiana
Read Morrison, Vice President for Institutional Advancement

GRAND RAPIDS BAPTIST COLLEGE, Grand Rapids, Michigan
Rex M. Rogers, President

GRAND VIEW COLLEGE, Des Moines, Iowa
Arthur E. Puotinen, President

GREENVILLE COLLEGE, Greenville, Illinois
Rex Catron, Assistant to the Vice President

GWYNEDD-MERCY COLLEGE, Gwynedd Valley, Pennsylvania
Isabelle Keiss, President

HARTWICK COLLEGE, Oneonta, New York
P.S. Wilder, President

HIGH POINT UNIVERSITY, High Point, North Carolina
E. Roy Epperson, Vice President of Administrative Affairs

HOLY FAMILY COLLEGE, Philadelphia, Pennsylvania
Francesca Onley, President

HUNTINGDON COLLEGE, Montgomery, Alabama
Allen K. Jackson, President

HUNTINGTON COLLEGE, Huntington, Indiana
Wesley A. Rediger, Vice President for Development

ILLINOIS COLLEGE, Jacksonville, Illinois
Donald C. Mundinger, President

INCARNATE WORD COLLEGE, San Antonio, Texas
Thomas K. Plofchan, Vice President for Institutional Advancement

IOWA WESLEYAN COLLEGE, Mount Pleasant, Iowa
Robert J. Prins, President

JACKSONVILLE UNIVERSITY, Jacksonville, Florida
Donald E. Ames, Vice President for Development

JARVIS CHRISTIAN COLLEGE, Hawkins, Texas
*Debra J. McNeil, Assistant to the Vice President of Student Affairs
 and Enrollment Management*

JOHNSON C. SMITH UNIVERSITY, Charlotte, North Carolina
Nancy Traina Sulek, Director of Institutional Research

JUNIATA COLLEGE, Huntingdon, Pennsylvania
Robert W. Neff, President

KENTUCKY WESLEYAN COLLEGE, Owensboro, Kentucky
Paul W. Hartman, President

WINNING STRATEGIES

KEUKA COLLEGE, Keuka Park, New York
Arthur F. Kirk Jr., President

KING COLLEGE, Bristol, Tennessee
Charles E. Cautben, President

LAKE ERIE COLLEGE, Painesville, Ohio
None listed

LAKELAND COLLEGE, Sheboygan, Wisconsin
David R. Black, President

LEBANON VALLEY COLLEGE, Annville, Pennsylvania
Richard F. Charles, Vice President for Advancement

LENOIR-RHYNE COLLEGE, Hickory, North Carolina
John E. Trainer, President

LIMESTONE COLLEGE, Gaffney, South Carolina
Melvin Hampton, Vice President for Resource Development

LINDENWOOD COLLEGE, St. Charles, Missouri
Ed Watkins, Director of Institutional Advancement

LIVINGSTONE COLLEGE, Salisbury, North Carolina
Catrelia S. Hunter, Dean of Institutional Advancement and College Relations

LORAS COLLEGE, Dubuque, Iowa
Marvin Fagerlind, Assistant to the President

LYCOMING COLLEGE, Williamsport, Pennsylvania
Elizabeth G. Boyd, Assistant to the President

MACMURRAY COLLEGE, Jacksonville, Illinois
Eduard J. Mitchell, President

MADONNA UNIVERSITY, Livonia, Michigan
Mary Francilene, President

MALONE COLLEGE, Canton, Ohio
E. Arthur Self, President

MANCHESTER COLLEGE, North Manchester, Indiana
Eldon E. Fahs, Vice President

MARIAN COLLEGE, Indianapolis, Indiana
Daniel A. Felicetti, President

MARIAN COLLEGE FOND DU LAC, Fond du Lac, Wisconsin
Matthew G. Flanigan, President

MARIETTA COLLEGE, Marietta, Ohio
Gina L. Wolf, Executive Secretary to the President

MARS HILL COLLEGE, Mars Hill, North Carolina
James R. Cox, Vice President for Development

MARYLHURST COLLEGE, Marylhurst, Oregon
Barbara Brunkow, Vice President

MARYMOUNT COLLEGE TARRYTOWN, Tarrytown, New York
Eleanor Cicerchi, Vice President of Institutional Advancement
Robert King, Vice President of Finance

MARYVILLE COLLEGE, Maryville, Tennessee
William H. Etling, Vice President for College Advancement

MARYVILLE UNIVERSITY OF SAINT LOUIS, St. Louis, Missouri
Donald J. McLain, Vice President of Institutional Advancement

MARYWOOD COLLEGE, Scranton, Pennsylvania
Clayton N. Pheasant, Vice President for Development and Public Relations

McKENDREE COLLEGE, Lebanon, Illinois
Eduard Glowatski, Vice President for Institutional Advancement

McPHERSON COLLEGE, McPherson, Kansas
Paul W. Hoffman, President

MEDAILLE COLLEGE, Buffalo, New York
Kevin I. Sullivan, President

MIDAMERICA NAZARENE COLLEGE, Olathe, Kansas
Bob Brouer, Vice President for Institutional Advancement

MILLIGAN COLLEGE, Milligan College, Tennessee
Sue H. Skidmore, Registrar and Director of Institutional Research

MILLIKIN UNIVERSITY, Decatur, Illinois
John R. Miltner, President

MISSISSIPPI COLLEGE, Clinton, Mississippi
Lewis Nobles, President

MOLLOY COLLEGE, Rockville Centre, New York
Janet A. Fitzgerald, President

WINNING STRATEGIES

MORRIS BROWN COLLEGE, Atlanta, Georgia
Betty A. Cook, Director of Institutional Research and Planning

MORRIS COLLEGE, Sumter, South Carolina
Luns C. Richardson, President

MOUNT MARY COLLEGE, Milwaukee, Wisconsin
Richard K. Davis, Executive Director of Institutional Advancement

MOUNT MERCY COLLEGE, Cedar Rapids, Iowa
Dianne Austad (and others), Assistant to the President

MOUNT SAINT MARY'S COLLEGE, Emmitsburg, Maryland
Linda E. Winkler, Assistant Director of Institutional Research

MOUNT SENARIO COLLEGE, Ladysmith, Wisconsin
Gary Blessman, Vice President of Finance

MOUNT UNION COLLEGE, Alliance, Ohio
Harold M. Kolenbrander, President

MOUNT VERNON NAZARENE COLLEGE, Mount Vernon, Ohio
Ron J. Phillips, Vice President for Institutional Advancement

MUSKINGUM COLLEGE, New Concord, Ohio
Matthew Elli, Executive Director for Development

NAZARETH COLLEGE OF ROCHESTER, Rochester, New York
Rose Marie Beston, President

NEBRASKA WESLEYAN UNIVERSITY, Lincoln, Nebraska
John W. White Jr., President

NEUMANN COLLEGE, Aston, Pennsylvania
Eileen C. Wells, Assistant to the President

NICHOLS COLLEGE, Dudley, Massachusetts
Lowell C. Smith, President

NORTH CENTRAL COLLEGE, Naperville, Illinois
Harold R. Wilde, President

NORTHWEST NAZARENE COLLEGE, Nampa, Idaho
Kenneth F. Watson, Assistant to the President

NORTHWESTERN COLLEGE, St. Paul, Minnesota
Donald O. Ericksen, President

NOTRE DAME COLLEGE OF OHIO, South Euclid, Ohio
Marla Loebr, President *Carole Morris, Coordinator of Institutional Research*

NYACK COLLEGE, Nyack, New York
Michael G. Scales, Vice President for Advancement

OAKWOOD COLLEGE, Huntsville, Alabama
Melvin Davis, Vice President, Planning and Development

OLIVET COLLEGE, Olivet, Michigan
Donald A. Morris, President

PAINE COLLEGE, Augusta, Georgia
Mark Adkins, Director of Institutional Advancement

PAUL QUINN COLLEGE, Dallas, Texas
Joseph O. Esin, Director of Institutional Research

PFEIFFER COLLEGE, Misenheimer, North Carolina
Zane E. Eargle, President

PHILANDER SMITH COLLEGE, Little Rock, Arkansas
Myer L. Titus, President

PHILLIPS UNIVERSITY, Enid, Oklahoma
Robert Peck, President

PIEDMONT COLLEGE, Demorest, Georgia
John F. Elger, President

POINT LOMA NAZARENE COLLEGE, San Diego, California
Dwayne Little, Director of Planning and Institutional Research

PRESBYTERIAN COLLEGE, Clinton, South Carolina
Kenneth B. Orr, President

QUINCY COLLEGE, Quincy, Illinois
Patricia Laytham, Assistant to the President

REGIS COLLEGE, Weston, Massachusetts
Margaret McGarry, Director of Academic Institutional Research

RIVIER COLLEGE, Nashua, New Hampshire
Ronald J. Kraus, Vice President of Advancement

ROBERTS WESLEYAN COLLEGE, Rochester, New York
George F. Ford, Senior Vice President

ROCKFORD COLLEGE, Rockford, Illinois
Gerald S. Broski, Vice President for Advancement

ROCKHURST COLLEGE, Kansas City, Missouri
Thomas J. Savage, President

ROGER WILLIAMS COLLEGE, Bristol, Rhode Island
Gary M. Keighley, Vice President for Development

RUST COLLEGE, Holly Springs, Mississippi
Ishmeil Edwards, Director of Development

SACRED HEART UNIVERSITY, Fairfield, Connecticut
Anthony J. Cernera, President

SAINT AMBROSE UNIVERSITY, Davenport, Iowa
Eduard J. Rogalski, President

SAINT ANDREWS PRESBYTERIAN COLLEGE, Laurinburg, North Carolina
Thomas L. Reuschling, President

SAINT AUGUSTINE'S COLLEGE, Raleigh, North Carolina
Robert E. Shepherd, Vice President for Development

SAINT BONAVENTURE UNIVERSITY, St. Bonaventure, New York
Neil J. O'Connell, President

SAINT JOHN FISHER COLLEGE, Rochester, New York
David A. Cristantello, Director of Development

SAINT JOSEPH'S COLLEGE, Rensselaer, Indiana
Charles H. Banet, President

SAINT MARTIN'S COLLEGE, Lacey, Washington
David Spangler, President
Gary Mulball, Director of Development

SAINT MARY COLLEGE, Leavenworth, Kansas
Peter Clifford, President

SAINT MARY'S COLLEGE OF MINNESOTA, Winona, Minnesota
Louis DeThomasis, President

SAINT MEINRAD COLLEGE, Saint Meinrad, Indiana
Dan Schipp, Vice President for Development

SAINT MICHAEL'S COLLEGE, Colchester, Vermont
Richard M. Mybalyk, Assistant to the President

ST. NORBERT COLLEGE, De Pere, Wisconsin
Thomas A. Manion, President

SAINT PAUL'S COLLEGE, Lawrenceville, Virginia
Robert N. Butler, Research Assistant

SAINT VINCENT COLLEGE, Latrobe, Pennsylvania
Martin A. Bartel, Provost

SALEM-TEIKYO UNIVERSITY, Salem, West Virginia
Ronald Obl, President

SHAW UNIVERSITY, Raleigh, North Carolina
Talbert O. Shaw, President

SHENANDOAH UNIVERSITY, Winchester, Virginia
James A. Davis, President

SHORTER COLLEGE, Rome, Georgia
James D. Jordan, President

SIMPSON COLLEGE, Indianola, Iowa
Stephen G. Jennings, President

SIOUX FALLS COLLEGE, Sioux Falls, South Dakota
Thomas F. Johnson, President

SOUTHERN NAZARENE UNIVERSITY, Bethany, Oklahoma
J. Michael Crabtree, Executive Director of University Advancement

SPRING ARBOR COLLEGE, Spring Arbor, Michigan
Neil E. Veydt, Vice President of Advancement
Shannon Scholten, Information Services Director

STEPHENS COLLEGE, Columbia, Missouri
Nikki Krawitz, Associate Dean of Faculty

STILLMAN COLLEGE, Tuscaloosa, Alabama
Myrtes D. Green, Director of Institutional Advancement

TABOR COLLEGE, Hillsboro, Kansas
Loren D. Friesen, Vice President for Advancement

TAYLOR UNIVERSITY, Upland, Indiana
John H. Letarte, Institutional Researcher

TEIKYO MARYCREST UNIVERSITY, Davenport, Iowa
Marie E. Ven Horst, Director of Institutional Research

WINNING STRATEGIES

TEXAS LUTHERAN COLLEGE, Seguin, Texas
Harold Prochnow, Assistant to the President

THIEL COLLEGE, Greenville, Pennsylvania
C. Carlyle Haaland, President

THOMAS MORE COLLEGE, Crestview Hills, Kentucky
Charles J. Bensman, President

TOUGALOO COLLEGE, Tougaloo, Mississippi
Delores Bolden-Stamps, Vice President for Institutional Advancement

TREVECCA NAZARENE COLLEGE, Nashville, Tennessee
Claude W. Diehl, Vice President of Institutional Advancement

TRI-STATE UNIVERSITY, Angola, Indiana
Christine Brooks-Leonard, Director of Institutional Research

TRINITY CHRISTIAN COLLEGE, Palos Heights, Illinois
Sheryl J. Hammer, Vice President of Finance and Development

TRINITY COLLEGE OF VERMONT, Burlington, Vermont
Kathy O'Dell-Thompson, Director of Public Relations

TUSCULUM COLLEGE, Greeneville, Tennessee
Jim Bargo, Director of Development

UNIVERSITY OF CHARLESTON, Charleston, West Virginia
Eduwin H. Welch, President

UNIVERSITY OF DALLAS, Irving, Texas
Vicki D. Jackson, Coordinator of Institutional Research and Planning

UNIVERSITY OF DETROIT - MERCY, Detroit, Michigan
Maureen A. Fay, President

UNIVERSITY OF DUBUQUE, Dubuque, Iowa
John F. Payne, Vice President for University Advancement and Planning

THE UNIVERSITY OF FINDLAY, Findlay, Ohio
Kenneth E. Zirkle, President

UNIVERSITY OF INDIANAPOLIS, Indianapolis, Indiana
James Brunnemer, Dean for Institutional Advancement

UNIVERSITY OF MARY, Bismarck, North Dakota
Neal Kalberer, Vice President for Public Affairs

UNIVERSITY OF NEW ENGLAND, Biddeford, Maine
Thomas H. Reynolds, President

UNIVERSITY OF RIO GRANDE, Rio Grande, Ohio
Paul D. Harrison, Vice President for Development

UNIVERSITY OF SAINT THOMAS, Houston, Texas
R. K. Croul, Vice President for Development

UNIVERSITY OF THE OZARKS, Clarksville, Arkansas
Gene Stephenson, President

URSULINE COLLEGE, Cleveland, Ohio
Rosemary Hovevar, Vice President for Institutional Advancement

UTICA COLLEGE OF SYRACUSE UNIVERSITY, Utica, New York
Carol Mackentosb, Director of Information and Planning Services

VOORHEES COLLEGE, Denmark, South Carolina
Lynda D. Jefferson, Director of Institutional Research/Assessment

WALSH COLLEGE, Canton, Ohio
Francis Blouin, President

WARTBURG COLLEGE, Waverly, Iowa
Doug Mason, Vice President for Advancement

WASHINGTON AND JEFFERSON COLLEGE, Washington, Pennsylvania
Howard J. Burnett, President

WAYNESBURG COLLEGE, Waynesburg, Pennsylvania
Timothy R. Thyreen, President

WEBSTER UNIVERSITY, St. Louis, Missouri
Robert A. Spencer, President

WESLEY COLLEGE, Dover, Delaware
Prudence S. Precourt, Vice President for Institutional Advancement

WESLEYAN COLLEGE, Macon, Georgia
Robert K. Ackerman, President

WEST VIRGINIA WESLEYAN COLLEGE, Buckhannon, West Virginia
Barbara Hinkle, Coordinator of Survey

WESTMINSTER COLLEGE, New Wilmington, Pennsylvania
Kevin J. Garvey, Vice President for Development and Institutional Relations

WINNING STRATEGIES

WESTMINSTER COLLEGE OF SALT LAKE CITY, Salt Lake City, Utah
Beverly K. Lety, Associate Director of Admissions

WESTMONT COLLEGE, Santa Barbara, California
Eduwin J. Potts, Assistant to the President

WHEELING JESUIT COLLEGE, Wheeling, West Virginia
Thomas S. Acker, President

WHITTIER COLLEGE, Whittier, California
Susan Pearce, Vice President of Advancement
Kathryn Forte, Vice President of Admissions

WHITWORTH COLLEGE, Spokane, Washington
Thomas A. Johnson, Vice President of Business Affairs

WIDENER UNIVERSITY, Chester, Pennsylvania
Robert J. Bruce, President

WILEY COLLEGE, Marshall, Texas
Loretta J. Thompson, Executive Assistant to the President

WILKES UNIVERSITY, Wilkes-Barre, Pennsylvania
Scott Bodfish, Director of Institutional Research
Tom Hadzor, Vice President of Development

WILLIAM JEWELL COLLEGE, Liberty, Missouri
J. Gordon Kingsley, President

WILMINGTON COLLEGE, New Castle, Delaware
Ronald C. Watts, Vice President of Academic Support Services

WILSON COLLEGE, Chambersburg, Pennsylvania
Deborah Yohn, Administrative Assistant of Admissions

WISCONSIN LUTHERAN COLLEGE, Milwaukee, Wisconsin
Mark Maurice, Assistant Director of Development

YORK COLLEGE OF PENNSYLVANIA, York, Pennsylvania
George W. Waldner, President



THE COUNCIL OF INDEPENDENT COLLEGES

The National Service Association for Independent Colleges

Dear

As you know so well, raising funds, attracting students, and cultivating friends will be extremely critical in the years ahead. CIC is acutely aware of the importance of these activities and is always looking for ways to help you be more effective. The enclosed questionnaire is designed to provide up-to-date data that will assist you and our other member schools, and to help CIC plan programs responsive to your needs. The results should prove to be of significant benefit to you because they will provide useful guidelines for your development/advancement efforts.

We are grateful that the questionnaire and analysis are directed by Dr. Wesley Willmer, Vice President for University Advancement at Biola University, La Mirada, California. We did similar studies for us in 1978 and 1984. Part of the benefit of this study is a comparison of how our activities have changed.

If you attended our 1992 Presidents' Institute, you may recall my mention of the survey and its value for us. The survey will provide extremely important information given the fact that it collects longitudinal data on our advancement activities in small colleges. Please make time to complete this most worthwhile survey and return it in the envelope provided before March 27.

You will be pleased to know that several CIC presidents will be contributing chapters to the book which will result from this study. In appreciation for completing and returning the survey, you will be provided a complimentary copy of the book, **ADVANCING THE SMALL COLLEGE: WINNING STRATEGIES IN CHALLENGING TIMES**. Thank you for making time to respond.

Best regards,

A handwritten signature in cursive script, appearing to read 'All', written in dark ink.

Allen P. Splete
President

One Dupont Circle • Suite 320 • Washington, D.C. 20036
(202) 466-7230 • Fax: (202) 466-7238

Please return by
March 27, 1992

Institutional Advancement Survey

INSTITUTIONAL IDENTIFICATION

Name of College _____

Name of Respondent _____

Respondent's Title _____ Phone () _____

1. Check the number of (FTE) undergraduate students (fall, 1991).
- | | |
|-----------------|---------------------|
| _____ up to 500 | _____ 1251-1500 |
| _____ 501-750 | _____ 1501-2000 |
| _____ 751-1000 | _____ 2001 and over |
| _____ 1001-1250 | |
2. What is the total FY 1990-91 educational and general (E&G) expenditure, including student aid, for your institution? \$ _____
3. What is the size of your endowment? \$ _____

Advancement Management

4. Check the functions which are included in your institution's advancement (IA) program:
- | | |
|---|--|
| ☐ admissions | ☐ photo services |
| ☐ alumni affairs | ☐ physical plant planning |
| ☐ church relations | ☐ placement |
| ☐ conferences | ☐ PR and publicity |
| ☐ fund raising | ☐ publications |
| ☐ government relations | ☐ special events |
| ☐ marketing | ☐ others (specify) _____ |
| ☐ parents programs | |
5. In FY 1990-91, what were your total institutional expenditures (including salaries and benefits, travel, media/promotion, etc.) to perform these functions:
- | | |
|---------------------------|-----------------|
| admissions/recruitment | \$ _____ |
| alumni affairs | \$ _____ |
| fund raising | \$ _____ |
| public relations | \$ _____ |
| TOTAL EXPENDITURES | \$ _____ |

6. What percentage of your educational budget is met by the following?
 tuition _____ %
 gift income _____ %
 income from endowment _____ %
 other _____ % (specify) _____
 TOTAL 100 %
7. Are your institutional advancement functions managed and coordinated primarily through one department? ☐ yes ☐ no
8. Does this IA department have a written statement of objectives?
☐ yes ☐ no
9. Please provide the following information about the chief person who manages the majority of your IA efforts:
 _____ position title
 _____ years with your institution
 _____ years in present position
 _____ years of experience in advancement field
 _____ highest academic degrees
 _____ academic major of highest degree
 _____ age _____ sex
10. Is your chief advancement officer a member of the institution's executive officer policy-making group (cabinet)? ☐ yes ☐ no
11. The chief officer for the IA functions reports directly to the:
☐ president ☐ other (specify) _____
☐ vice president of _____
12. Have you used professional consultants in any of these functions in the last year? If yes, specify average number of days/month.
 admissions/recruitment ☐ yes ☐ no _____
 alumni affairs ☐ yes ☐ no _____
 fund raising ☐ yes ☐ no _____
 public relations ☐ yes ☐ no _____
- Governing Board of Trustees
13. How many voting members do you have on your board? Total: _____
 Of these, how many are women? _____ How many minorities? _____
14. Do you feel your trustees are adequately trained in fund raising?
☐ yes ☐ no
15. What are the professional occupations of your board?
 business _____ % educators _____ %
 clergy _____ % lawyers _____ %
 doctors _____ % other _____ % (specify) _____
 TOTAL 100 %
16. What percentage of your board is capable of making a one-time gift (excluding an estate gift) of: not more than \$5,000 _____ %
 >\$5,000 but not more than \$25,000 _____ %
 >\$25,000 but not more than \$100,000 _____ %
 more than \$100,000 _____ %
 TOTAL 100 %

17. Do you have an active, working board committee responsible for (one committee could handle all):
- | | | |
|-----------------------|-----|----|
| admissions/recruiting | yes | no |
| alumni affairs | yes | no |
| fund raising | yes | no |
| public relations | yes | no |

18. What percentage of your trustees are alumni? _____ %

19. To what extent are you satisfied with your trustees' involvement in the following areas? (Please fill in the number that indicates most closely the level of your satisfaction--"1" if you are very satisfied, ranging to "6" if you are very dissatisfied.)

_____	deciding fund raising policy
_____	making financial contributions
_____	referring donor prospects
_____	soliciting donors
_____	assisting admissions efforts

20. How difficult is it to recruit good trustees? (Please mark the appropriate section.)

_____	_____	_____	_____	_____
extremely	moderately	somewhat	little	no
difficult	difficult	difficult	difficulty	difficulty

Staffing and Budget

21. Please list your total paid staff (FTE) for these functions:
(If a person shares responsibilities, show .5 in two locations.)

	<u>Administrative</u>	<u>Clerical/Secretarial</u>
admissions/recruitment	_____ FTE	_____ FTE
alumni affairs	_____ FTE	_____ FTE
fund raising	_____ FTE	_____ FTE
public relations	_____ FTE	_____ FTE
TOTAL	_____ FTE	_____ FTE

22. In which of these functions do volunteers (other than trustees) play an active role?

admissions/recruitment	yes	no
alumni affairs	yes	no
fund raising	yes	no
public relations	yes	no

23. Do you plan to enlarge this staff in the next two years?
yes _____ no _____ don't know _____

If yes, how many new people do you plan to add?
_____ administrative FTE _____ clerical FTE

24. How did your IA staff size change in the last four years?

increase _____ decrease _____
And by how many? _____ administrative FTE _____ clerical FTE

Fund Raising

25. What percentage of your fund raising efforts are for annual unrestricted monies? _____ %

26. Have you conducted a capital campaign in the last three years?
yes _____ no _____

27. Do you plan to have a capital campaign in the next three years?
 yes no
28. Do you currently have an active plan to increase your:
 endowment? yes no annual fund? yes no
29. Is your college a member of an association of colleges organized
 to raise funds? yes no
 If yes, what percentage of your annual unrestricted giving is
 accounted for by this association? _____
30. Do you have a legally separate foundation for the purpose of
 raising funds? yes no
31. Indicate the total private gifts received for fiscal year 1990-91:
 capital \$ _____ operations \$ _____ endowment \$ _____
 Of this total amount, how much came from matured deferred gifts?
 \$ _____
32. Do you actively solicit:
 bequests/wills yes no
 annuities yes no
 trusts yes no
 other deferred gifts (specify) _____
33. Of all \$1000-plus donors and prospects solicited face-to-face, what
 percent were by:
 % trustees % volunteers
 % president % other (specify) _____
 % staff 100% TOTAL
34. Please rank these fund raising activities according to the amount
 of net income generated. ("1" indicates the most income, "2"
 indicates the second largest amount of income, etc.) Leave blank
 those activities you do not use.
 direct mail
 telemarketing (phonathons)
 radio programs/spots
 TV programs/spots
 area representatives
 personal contact
 special events (banquets, etc.)
 other (specify) _____
35. Please indicate what percentage of your gift income is generated by
 each of the sources below. (Leave blank if item does not apply.)
 % alumni % foundations
 % parents % businesses
 % students % churches
 % trustees % government grants
 % faculty % other (specify) _____
 % other friends 100% TOTAL
36. Have you conducted in the last three years market analyses (who
 gives and why) of your donor constituency? yes no

37. What do you think is the main reason your institution receives gifts from major donors: _____

 from alumni: _____

38. What is the average turn-around time in acknowledging a gift?
 _____ same day _____ more than 8 working days
 _____ within 3 working days _____ no acknowledgment sent
 _____ 4-7 working days
39. What is the size of your total mailing list? alumni _____
 others _____
 TOTAL _____
40. How many times did you mail the following in 1991 to your constituents? (Leave blank any category which does not apply.)
 _____ newsletters/magazines
 _____ general appeal letters for funds
 _____ segmented appeals:
 _____ to major donors
 _____ to regular donors
 _____ to lapsed donors
 _____ to non-donors
 _____ to follow up first-time donors
 _____ other (specify) _____
- President in Advancement
41. How many years has your president been a college president?
 at your present institution _____ years
 at all higher education institutions _____ years
42. What position did your current president hold immediately prior to becoming president?
 _____ academic administrator
 _____ faculty member
 _____ development/advancement officer
 _____ public relations officer
 _____ student development administrator
 _____ financial affairs administrator
 _____ admissions officer
 _____ other college administrator (specify) _____
 _____ position outside higher education (specify) _____
43. During the past academic year, what percentage of the president's work time was allocated to the following functions?
 _____ % financial affairs _____ % student development
 _____ % academic affairs _____ % fund raising/advancement/PR
 100% TOTAL
44. Of the president's time spent in fund raising/advancement/PR-related activities during the past year, what percentage was spent in the following areas?
 _____ % admissions/recruitment _____ % public relations
 _____ % alumni affairs _____ % other (administrative, etc.)
 _____ % fund raising 100% TOTAL

45. Of the time as indicated in question 44 that the president spent in fund raising, approximately what percentage was utilized in cultivating and soliciting major donors? 1

46. The president's fund raising skills would be generally rated as (please mark the appropriate section):

strong above average average below average weak

47. How did the president learn to do fund raising? (Rank all that apply, with "1" indicating greatest degree of involvement.)
- | | |
|-----------------------|-------------------------------------|
| _____ trial and error | _____ prior experience in education |
| _____ conferences | _____ prior nonprofit experience |
| _____ mentor | _____ other (specify) |

48. Of the president's time spent with the chief fund raising officer, what percentage of time is spent discussing the following areas?
- | | |
|------------------------------|---------------------------------------|
| _____ % general fund raising | _____ % general administrative issues |
| _____ % major donors | _____ % other (specify) _____ |
| _____ % public relations | 100% TOTAL |

Alumni

49. How many off-campus alumni meetings do you conduct annually? _____

50. Is fund raising a designated and publicly recognized responsibility of the alumni association? yes no

51. Do you have a special alumni program for recent graduates?
yes no

52. What percentage of the institution's total gift support came from alumni in FY 1990-91?

53. What percentage of alumni made a gift during FY 1990-91? 1

54. Do you have a legally incorporated, independent alumni organization? yes no

55. Does your alumni organization assess dues for alumni association membership? yes no If yes, what percentage of alumni paid their dues in FY 1990-91? 1

56. Did your president invite to his/her residence a group of two or more alumni couples in FY 1990-91? yes no If yes, approximately how many couples during the year?

Public Relations

57. "I think my institution presents clear and consistent images of itself among its various publics." (Please mark the appropriate section on the scale.)

Strongly Agree	/	/	/	/	/	Strongly Disagree
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58. "I think that our image should be modified to more adequately satisfy the needs of our clientele." (Please mark the appropriate section on the scale.)
 Strongly Agree _____ / _____ / _____ / _____ / _____ / _____ / Strongly Disagree
59. Modification of the organization's image is primarily the responsibility of the: (Check one.)
 _____ board _____ advancement office
 _____ president _____ other (specify) _____
60. Please specify the importance of the following public relations goals for your institution: (For each goal, indicate "1" if of great importance, ranging to "6" if of little importance.)
 _____ attract prospective students
 _____ add to the college's academic reputation
 _____ report news
 _____ raise funds
 _____ provide a community service
 _____ enhance favorable relations with faculty
 _____ promote favorable relations with the community
 _____ educate the public about higher education
 _____ show the importance of religion in education
 _____ build and hold goodwill for the institution
61. Does your college have a public relations advisory group comprised of people outside the institution (other than trustees)?
 _____ yes _____ no
62. Have you conducted a readership survey of your primary publication in the past three years? _____ yes _____ no
63. Is the public relations office responsible for student recruitment literature? _____ yes _____ no
64. What kind of an image is your institution trying to convey? Rank these image elements from 1 to 8, "1" being the most important, "8" the least.
 _____ quality academics _____ character building
 _____ fiscal stability _____ research activity
 _____ service to society _____ spiritual commitment
 _____ teaching quality _____ prestige occupations of alumni
65. Do you have a written, budgeted plan to improve your image in the community? _____ yes _____ no
- Admissions/Recruitment
66. For FY 1990-91 what was tuition? _____ Room and board? _____
67. What was your FY 1990-91 recruiting budget for:
 printing* \$ _____ postage \$ _____
 space advertising \$ _____ travel \$ _____
 other promotion \$ _____ telephone \$ _____
 TOTAL \$ _____
- * If catalogs or viewbooks are printed every few years, include estimation of annual costs.

68. What percentage of enrollment growth or decline do you expect in the next three years? (Indicate minus for decline.) _____
69. To whom does your chief admissions/recruitment officer report?
 ___ president ___ vp for enrollment management
 ___ vp for advancement ___ vp for student affairs
 ___ vp for finance ___ other (specify) _____
 ___ vp for academic affairs
70. In the last three years, have you done market research to determine why students attend your college? ___ yes ___ no
 If yes, what are their reasons? _____

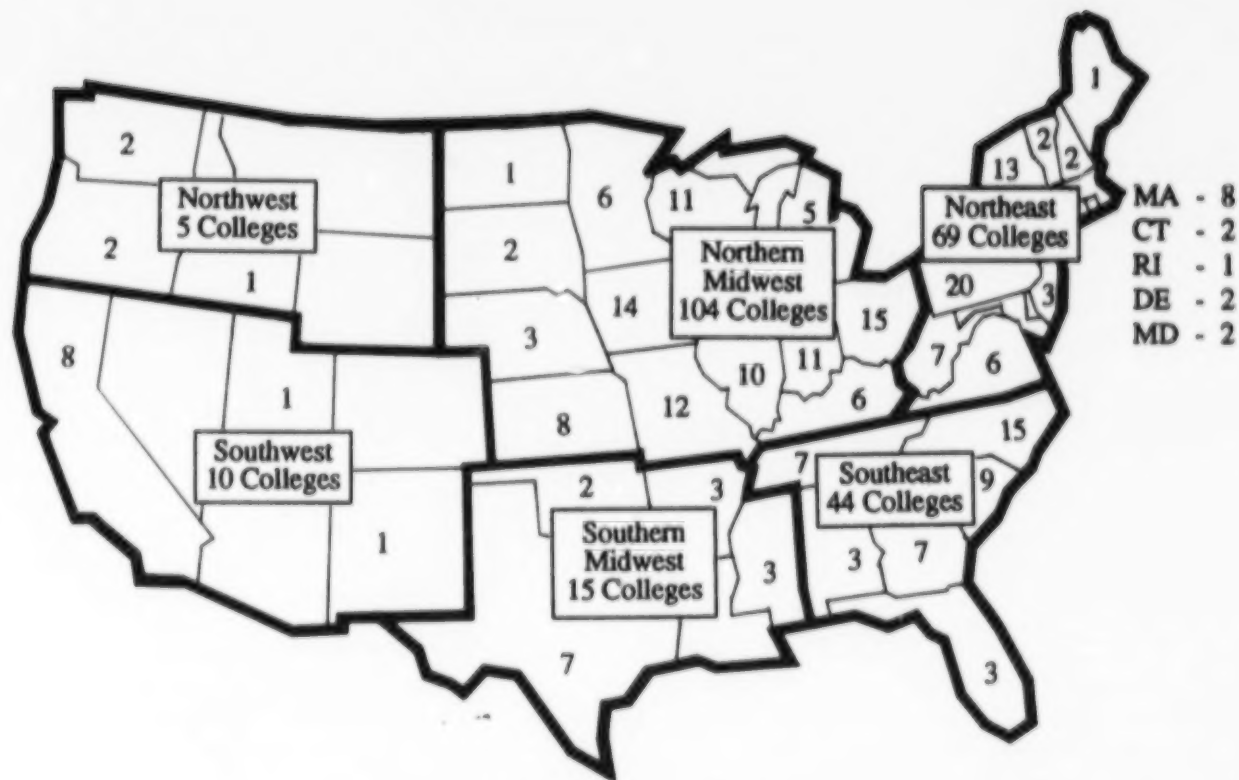
71. Have you followed up your applicants who did not matriculate to determine why they did not? ___ yes ___ no If yes, what are their reasons? (Please prioritize high to low.)

72. What other institutions are your greatest competition for students? (List: "1"--greatest competition, "2"--second greatest, etc.)
 ___ two-year community colleges ___ other private colleges
 ___ four-year state schools ___ similar church-related colleges
73. For this past fall's (1991) student recruitment efforts (first-time freshmen), what were the totals in each of these categories?
 ___ inquiries ___ matriculants (new students)
 ___ applications

All individual and institutional identity will be kept confidential as the results will be reported as an aggregate, not individually.

Thank you very much for your time and cooperation. Please use the enclosed envelope to return this questionnaire as soon as possible to:

Council of Independent Colleges
 c/o Jane Halteman
 515 E. Prairie
 Wheaton, Illinois 60187
 (708) 668-3417



CIC Respondents by State

About the Editor



Wesley K. Willmer

Wesley K. Willmer writes with authority about the small college, uniquely combining research, personal experience, and consulting expertise. His more than 20 years of experience in small college administration includes management and teaching roles at Wheaton College (Wheaton, Illinois), Roberts Wesleyan College (Rochester, New York), and Seattle Pacific University (Seattle, Washington). He is presently vice president, university advancement, at Biola University in La Mirada, California.

This is his sixth book in the small college advancement field: He was the guest editor of *Advancing the Small College*, published by Jossey-Bass in 1981 as part of the New Directions for Institutional Advancement series. He is the author of two books published by CASE: *The Small College Advancement Program: Managing for Results* in 1981 and *A New Look at Managing the Small College Advancement Program* in 1987. Willmer is also the editor of two books published by the Christian College Coalition: *Friends, Funds and Freshmen: A Manager's Guide to Christian College Advancement* (1990) and *Friends, Funds and Freshmen for Christian Colleges: A Manager's Guide to Advancing Resource Development* (1987).

Willmer's articles on fund raising and institutional advancement research have appeared in *CURRENTS*, *Agri Reports* (the magazine of the Association of Governing Boards of Universities and Colleges), *Fund Raising Management*, *Foundation News*, and *FRI Monthly Portfolio*. He is the author of chapters in the *Handbook of Institutional Advancement* (second edition) and in *Charitable Giving and Solicitation*. He also edited *Money for Ministries* in 1989.

In 1986 CASE selected Willmer from among its 14,000 members to receive the Alice L. Beeman Award. This award, which is named for CASE's first president, recognizes significant contributions in research and writing in institutional advancement. In 1993 he became one of 24 "senior professionals who are known and respected by their peers for outstanding leadership and expertise."

Willmer has been a speaker at CASE programs and other professional conferences. He is a member of the CASE Evaluation Service. He has taught graduate-level courses in resource development, provided consulting services for numerous institutions, and is president of the board of the Christian Stewardship Association. He has also written and received grants worth over \$1 million, which he has directed to improve the advancement efforts of nonprofit organizations nationally.

He has a B.A. in psychology and an M.Ed. in counseling and guidance from Seattle Pacific University. He earned a Ph.D. in higher education from the State University of New York at Buffalo under the advisership of A. Westley Rowland, editor-in-chief of the *Handbook of Institutional Advancement*.

NOTES

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